

**COLLABORATIVE GOVERNANCE
FOR SUSTAINABLE DEVELOPMENT IN
URBAN PLANNING IN SOUTH KOREA**

By

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ABSTRACT

Over the past few decades, world population growth, economic development and rapid urbanisation have caused environmental degradation and social problems. The concept of ‘sustainable development’ has emerged as an approach to dealing with these issues. ‘Collaborative governance’ is seen by many scholars as a means of implementing the goals of sustainable development and of integrating diverse interests and perspectives in contemporary society. This thesis examines the relationship between sustainable development and collaborative governance in urban planning in South Korea. There are four main research questions: What are the key elements of collaborative governance in urban planning? How does collaborative governance contribute to sustainable development? What role is played by government in working towards sustainable development in a collaborative governance era? What is needed for enhancing the quality of future collaborative governance? The questions are examined through two case studies of urban planning in South Korea: in the Si-hwa case study, the emphasis is on the topic of conflict mediation; and in the Buk-Gu case study, it is on the topic of collaborative policy-making. Through a review of the literature and two case studies, the thesis shows that the characteristics of urban planning in South Korea correspond to the general features of collaborative governance identified in the literature, and that collaborative governance is an effective system for implementing the principles of sustainable development. It concludes that a collaborative governance system will evolve towards sustainable development, compensating for any initial weakness in the process, provided that all stakeholders, particularly residents and government, continue to develop their institutional capacity over time.

DEDICATION

I DEDICATE THIS THESIS TO MY BELOVED FAMILY

MY WIFE, SO-YOUNG PARK,

WHO GAVE ME HER LOVING SUPPORT

AND PUT HER LIFE ON HOLD FOR THREE YEARS

MY SON, JUN-BEOM KIM AND DAUGHTER, YE-JU KIM,

WHO REPRESENT A GOOD FAMILY AND A BETTER LIFE

MY PARENTS, YOUNG-HO KIM AND SOON-DEOK HWANG,

WHO GAVE ME LIFE AND ENDURING LOVE

MY PARENTS-IN-LAW, JEONG-RYUL PARK AND SHIN-IM LEE,

WHO GAVE ME THE MOST SPECIAL PERSON IN MY LIFE

AND

THIS THESIS IS ALSO DEDICATED IN LOVING MEMORY

TO MY SISTER-IN-LAW, DR JI-YOUNG PARK

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LIST OF ABBREVIATIONS

APUNT	Act on the Planning and Utilisation of the National Territory
BUP	Basic Urban Plan
BDO	Buk-Gu District Office
CCCPP	Committee for Making the Cultural Community with Poems and Pictures
EU	European Union
FANT	Framework Act on the National Territory
GLA	Greater London Authority
IISD	International Institute for Sustainable Development
IUCN	International Union for the Conservation of Nature
KFEM	Korean Federation for Environmental Movement
KNHC	Korea National Housing Corporation
KRIHS	Korea Research Institute for Human Settlements
KWRC	Korea Water Resources Corporation
LH	Korea Land and Housing Corporation
MOA	Ministry of Agriculture
MOCST	Ministry of Culture, Sports and Tourism
MOCT	Ministry of Construction and Transportation
MOGAHA	Ministry of Government Administration and Home Affairs
MOMAF	Ministry of Maritime Affairs and Fisheries
MOSF	Ministry of Strategy and Finance
MLTM	Ministry of Land, Transport and Maritime Affairs
MTV	Multi-Techno Valley
NCS	National Conservation Strategy
NDRC	National Development and Reform Commission
NEAP	National Environmental Action Plan
NEMP	National Environmental Management Plan
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Cooperation and Development
PCBND	Presidential Committee on Balanced National Development

PCSD	Presidential Commission on Sustainable Development
PRSP	Poverty Reduction Strategy Paper
SSDC	Si-hwa Sustainable Development Council
UAN	Urban Action Network
UDA	Urban Development Act
UNCED	United Nations Conference on Environment and Development
UNEP	United Nations Environment Program
UPA	Urban Planning Act
WSSD	World Summit on Sustainable Development
WWF	World Wide Fund for Nature
YMCA	Young Men's Christian Association

CHAPTER 1

INTRODUCTION

1.1 Background

Over the past few decades, the world has been faced with life-threatening environmental degradation, for example in the form of global warming (Wheeler, 2004; Rydin, 2003; Shiva, 1992). Some scholars have argued that continuous economic development may bring the world to the limits of growth (Meadows *et al.*, 1972). In particular, the significant increase in urban populations has brought about rapid economic development in urban areas, which has caused environmental and social problems (UNFPA, 2009; Hall and Pfeiffer, 2000). Some scholars (Wheeler, 2004; Matoba, 2003; Selmon, 1996; Okoth-Ogendo, 1995; Munro, 1995; Viederman, 1995) believe that ‘sustainable development’ is the best approach to dealing with these issues, while others argue that sometimes aspects of sustainability, such as the use of renewable energy, may do more damage than good to the environment (Stirling, 2003; Shiva, 1992).

Along with the arguments for and against sustainable development, there is an argument about the practical issue of how to achieve the goals of sustainable development. Some suggest the importance of having a national strategy for sustainable development in

order to help countries achieve the goals of sustainable development (HMG, 2005; OECD, 2002), while other theorists (Jepson, 2001; Selman, 1996; McDonald, 1996; Hossain, 1995; Okoth-Ogendo, 1995) argue that achieving the goals of sustainable development needs an overall political system which involves effective public involvement, consensus-building and good governance. Hall and Pfeiffer (2000), for example, state that good urban development requires sustainability as the principle and good governance as the practice.

In particular, many scholars believe that ‘collaborative governance’ has the ability to integrate diverse concerns about sustainable development (Ansell and Gash, 2008; Healey, 2006; Innes and Booher, 2004; Hall and Pfeiffer, 2000; Ginther, 1995; Boer, 1995). However, there is plenty of literature that suggests there are both negative and positive aspects to collaborative governance. Some scholars (Futo *et al.*, 2006; Tewdwr-Jones and Allmendinger, 1998; Helling, 1998) highlight weaknesses in collaborative governance, both in its theory and its practice. In contrast to them, others (Healey, 2003; Innes and Booher, 1999b) underline positive perspectives, regarding the collaborative approach as a new strategy for dealing with sustainability issues.

This thesis will not focus on the arguments for and against sustainable development; nor will it consider in depth the different approaches to achieving the goals of sustainable development. Rather, it will examine primarily whether collaborative governance is an effective system for promoting the achievement of the goals of sustainable development in urban areas, and it will do this by examining two particular case studies in urban planning in South Korea. This way of proceeding gives rise to questions as to what the

key elements of collaborative governance in urban planning are; how collaborative governance contributes to sustainable development; what role government plays in working towards sustainable development in a collaborative governance era; and what is needed to enhance the quality of future collaborative governance. Against the background of these questions, the next section introduces the research objectives and research questions for the thesis.

1.2 Research Objectives and Research Questions

South Korea, which has experienced a fast pace of industrialisation, is no stranger to the environmental and social conflicts mentioned in the previous section (Lee, 2005). It has achieved rapid economic growth since the 1960s by giving the national interest priority over other values, such as the conservation of the environment, and this has resulted in various environmental and social problems (Republic of Korea, 2006b). In particular, urban areas have experienced these problems more severely, because the urbanisation rate of South Korea has risen dramatically from 40 percent in 1960 to 90 percent in 2007 (E-Korea Index, 2009). To cope with these problems, South Korea has, since the 1990s, begun to take steps towards the achievement of the goals of sustainable development (Republic of Korea, 2005).

Along with the pursuit of sustainable development, South Korea has experienced a shift from hierarchy to governance since the 1990s. This shift has been caused by challenges such as globalisation, decentralisation, technological development and the growth of civil society (Yoo and So, 2005; Lee, 2003; Park, 2002; Lee, 2001). The autonomous

local system that has taken root in Korean society since 1991 has encouraged people to participate more actively in the decision-making processes of public policy (Park, 2001). Collaborative governance has developed as a new paradigm for achieving the goals of sustainable development in the 2000s, because collaborative governance is the key to combining three perspectives horizontally and integrating the opinions of various stakeholders through dialogue and interaction (Yoo and So, 2005; Choi, 2003). However, some scholars (Lee, 2005; Kim, 1997) argue that collaborative governance in South Korea still has limitations, for example in the superficiality of its consultation processes. Several conflicts have been resolved through administrative processes and judicial settlement, rather than through a consensus-building process based on collaborative governance (Jeong, 2006; Lee, 2005; Yoo and Hong, 2005; Kim, 2004; Lee, 2001). Thus, it is important to examine how to overcome the weaknesses of collaborative governance that have led to these failures.

There is plenty of literature about collaborative governance in the conflict mediation process. However, only a few research studies have explained the relationship between sustainable development and collaborative governance in detail. In one such study, Jeong (2002a and 2002b) identified the importance of the consensus-building process for achieving the goals of sustainable development. However, in subsequent research studies, he dealt only with the conflict mediation process, not the overall relationship between the two objectives (Jeong, 2007a).

This thesis aims to examine how collaborative governance contributes to achieving the goals of sustainable development in South Korea. The spatial scope of the research is

limited to urban areas of South Korea where 90 percent of the total population lives, and where residents experience more serious environmental and social conflicts than in rural areas. The time frame of the research is the 2000s, because it is mainly since 2000 that collaborative governance has developed in South Korea. To demonstrate the relationship between sustainable development and collaborative governance, a planning system is used as a tool, because a planning system, which involves diverse actors, has sufficient capacity to integrate the diverse concerns of sustainable development.

Against this background, four research objectives are set out.

- To explore the characteristics of collaborative governance in urban planning in South Korea
- To examine the relationship between sustainable development and collaborative governance in urban planning in South Korea
- To look at the role of government in a collaborative governance era
- To explore and highlight the potential for future collaborative governance

These research objectives will be addressed through the following research questions:

Q1. What are the characteristics of urban planning in South Korea that relate to collaborative governance?

Q2. What consequences do the elements of collaborative governance in urban planning have for the principles of sustainable development in South Korea?

Q3. In a collaborative governance era, what role does government play in working towards sustainable development?

Q4. What is needed to enhance the quality of future collaborative governance?

These questions are based on the relevant literature about sustainable development and collaborative governance. The main elements of collaborative governance will be identified through a review of the relevant literature; and the first research question aims to identify the characteristics of urban planning in South Korea that relate to these elements of collaborative governance.

The second question is set up to investigate the claim that implementing the principles of sustainable development requires collaborative approaches such as consensus-building, and it does this by examining the relationship between the main principles of sustainable development and the main elements of collaborative governance in urban planning practices.

The third question is designed to examine the role of government in collaborative planning practices, because it is debatable whether government acts as a facilitator or as a controller in collaborative processes. In particular, the thesis focuses on the influence of the government's role on the principles of sustainable development.

The last question is about what is needed to enhance the quality of future collaborative governance. It draws on collaborative practices in South Korea, as exemplified by two case studies undertaken as part of the research. This will be explored in order to aid future studies related to collaborative governance.

The next section explains the methodology to be employed in addressing the research questions.

1.3 Methodology

The research examines how collaborative governance contributes to sustainable development in the fields of conflict mediation and collaborative policy-making in urban planning in South Korea. A case study methodology is used, because the research deals not only with ‘how’ questions, but also with contemporary events, which investigators are rarely able to control (Yin, 2003a). Drawing on relevant literature from South Korea, two case study areas are selected: the Si-hwa land reclamation project in Gyeong-gi Province and the Buk-Gu liveable community-improvement project in Gwang-ju Metropolitan City. The case study areas are selected using a number of criteria such as the time period, the collaborative features and the size and location of the projects.

Research methods in social sciences include a qualitative method of process-driven research and a quantitative one of outcome-driven research, even though the division between them is not always obvious (Yin, 2003b). The methodology of this research is

influenced by the types of data required (ibid). To examine the relationship between sustainable development and collaborative governance needs an understanding of contemporary phenomena and real-life events. Thus, data are collected from sources with more qualitative characteristics. These sources are: documentary analysis, in-depth interviews, direct and participant observation and site visits. In particular, the research uses open-ended and semi-structured interviews with key stakeholders in order to understand how collaborative governance deals with specific issues, and how it implements the principles of sustainable development. The framework for in-depth interviews is developed through detailed documentary analysis.

1.4 The Layout of the Thesis

The thesis explores issues raised in this introductory chapter. Drawing on a review of the relevant literature, it begins by exploring the concept and characteristics of sustainable development and collaborative governance. It also identifies the principles of sustainable development and the elements of collaborative governance. It then explores the relationship between sustainable development and collaborative governance through the two case studies of urban planning in South Korea. The thesis concludes with discussion and suggestions for further research.

There are ten chapters in the thesis.

Chapter 1 has introduced the background, the aims, the research questions, the methodology and the layout of the research.

Chapter 2 explores one of the key concepts of the research, ‘sustainable development’, examining its definition, its evolution and how it is used in national strategies. Through examination of the relevant literature, the chapter aims to identify the main principles of sustainable development.

Chapter 3 gives a brief outline of ‘governance’ and then explores the concept and the characteristics of ‘collaborative governance’. It explores collaborative practices in various parts of the world. The chapter also reviews the relevant literature on the key features of collaborative governance: public involvement, the role of government, and institutional capacity.

Chapter 4 reviews the nature of planning systems as effective means to implement the main principles of sustainable development, particularly focusing on collaborative planning, which includes the features of collaborative governance. It then identifies the main elements of collaborative governance that are needed to implement the principles of sustainable development in urban planning.

Chapter 5 presents an outline of collaborative governance in urban planning in South Korea through a review of the relevant literature. The chapter introduces the planning system of South Korea and describes how collaborative practices in South Korea have developed in the fields of conflict mediation and collaborative policy-making.

Chapter 6 provides a methodological framework for the research. It sets out the research questions; explains the research methods to be used; and also explains how the case study areas are selected and researched.

Chapters 7 and 8 present the results of the two case studies in South Korea, which are undertaken in the field of conflict mediation at the Si-hwa land reclamation project in Gyeong-gi Province and in the field of collaborative policy-making at the Buk-Gu liveable community-improvement project in Gwang-ju Metropolitan City. The two chapters examine the features of collaborative governance in the two aspects of urban planning in South Korea, and then explore the contribution of collaborative governance to sustainable development.

Chapter 9 sets out to answer the research questions, relating the results of the case studies to the framework of the research derived from the literature reviews. It also provides key findings of the thesis from the analysis of the case studies.

Chapter 10 concludes the research with a discussion. It addresses the research questions, summarising the main findings of the thesis; discusses some doubts about collaborative governance; describes the contribution of the thesis to the study of collaborative governance in urban planning; and considers the evaluation and the limitations of the research, indicating possibilities for future study.

CHAPTER 2

SUSTAINABLE DEVELOPMENT

2.1 Introduction

The medium-variant scenario of the United Nations has estimated the world population for 2050 at 9.15 billion (UNFPA, 2009). World population growth, economic development and rapid urbanisation have caused environmental degradation and many social changes, particularly as a result of a significant increase in the population of urban areas (Hall and Pfeiffer, 2000). Environmental problems include climate change, depletion of natural resources, endangering of species, greenhouse gas emissions and threats to biodiversity (ibid). The poor, particularly in developing countries, are more likely to suffer damage from severe floods, storms and droughts due to climate change (UNFPA, 2009). Rapid urban economic development has resulted not only in global warming due to more traffic and more energy consumption, but also in social conflicts due to considerable social inequality (ibid).

The concept of ‘sustainable development’ has emerged as an approach to dealing with these issues. Much relevant literature (Wheeler, 2004; Matoba, 2003; Guy and Marvin, 2000; Selmon, 1996) suggests that sustainable development contributes to tackling

urban problems; and there has been a great deal of interest in how to build sustainable cities and communities which will meet the multiple challenges of climate change – for example the need to sustain good air quality, biodiversity, human health, energy, transport, environmental justice and economic development. However, there are different schools of thought on the concept of sustainable development, as the following two points of view illustrate.

To begin with, some scholars (Wheeler, 2004; Matoba, 2003; Selmon, 1996; Okoth-Ogendo, 1995; Munro, 1995; Viederman, 1995) believe that sustainable development is able to deal with diverse contemporary issues. The term ‘sustainable development’ emerged in 1972, and at the time focused only on environmental improvement (Meadows *et al.*, 1972: 183), because by then the world had been faced with environmental degradation for several decades, and environmental issues had become a major concern for human societies (Shiva, 1992). However, since the 1992 United Nations Conference on Environment and Development, the concept of sustainable development has been broadened to reflect diverse concerns – for example, economic and social concerns, such as weak economies and inequality of wealth – as well as climate change (Jepson, 2001; Hall and Pfeiffer, 2000). This is because, in a complex society, people need to consider diverse factors such as adequate shelter, stable employment, equitable resource distribution and participatory democracy.

Other scholars (Stirling, 2003; Shiva, 1992) argue that sometimes sustainable development, which involves a continuous supply of industrial products, may weaken nature’s capacity to support our present and future life and may do more damage than

good to the environment. Shiva (1992: 189) criticises it as ‘pseudo-sustainability’, maintaining that the broader concept of ‘sustainable development’ gives primacy to capital and production rather than to nature or conservation. Despite this concern, since the 1990s, steps have gradually been taken towards the achievement of sustainable development. The concept has involved the integration of the following perspectives: the conservation of the natural environment; the pursuit of sustainable economic growth; and the achievement of social equity (Wheeler, 2004; OECD, 2002; Lang, 1995; Munro, 1994).

Along with the argument about the overall concept of sustainable development, there is an argument about how to implement its several goals. Some authorities suggest that a focus on national sustainable development strategies is an effective approach to achieving the goals (OECD, 2006; HMG, 2005; OECD, 2002), while others (Jepson, 2001; Selman, 1996; McDonald, 1996) argue that achieving them requires a particular system such as governance. However, this chapter will not focus on these arguments, because the aim of the thesis is to explore the relationship between collaborative governance and sustainable development, examining whether collaborative governance is an effective system to implement the principles of sustainable development. From this background, the rest of the chapter explores the history and definition of the term ‘sustainable development’; it provides various examples of national strategies for sustainable development; it examines the main principles of sustainable development; and it explores the conditions required to implement these principles.

2.2 The Concept of Sustainable Development

2.2.1 The Evolution of the Concept of Sustainable Development

A better understanding of the concept of sustainable development requires more knowledge of its historical background. This section provides a brief look at the evolution of this concept.

The Emergence of the Concept of ‘Sustainability’ in the 1970s

Since the industrial revolution of the 19th century, environmental problems such as air and water pollution have dramatically increased. In particular, after the Second World War, petrochemical industries created many toxic materials. In response to this phenomenon, public concern about the relationship between continuing industrial development and the rise of ecological problems also gradually grew (Wheeler, 2004). These environmental concerns can be traced back through various books (Wheeler, 2004; Meadows *et al.*, 1972; Carson, 1965): *Man and Nature* was published in 1864 to show how human activity was changing nature in south-eastern France and England; *Silent Spring*, published in 1965, also called attention to environmental risks associated with the use of toxic chemicals in the countryside and the destruction of wildlife in America; and *The Limits of Growth*, published in 1972, dealt with how to alter these trends in order to achieve sustainable ecological and economic stability. In addition, pictures of the earth from space taken in the 1960s and the organising of the first ‘Earth Day’ in 1970 induced people to recognise the relationship between industrial growth

and the environment. The United Nations Conference on the Human Environment (UNCHE), held in Stockholm in 1972, also suggested specific actions to promote harmony between the environment and economic development through a Declaration on the Human Environment (Wheeler, 2004; McDonald, 1996).

The Evolution of Sustainable Development since the 1980s

The concept of sustainable development began to be interpreted in diverse ways in the 1980s. The World Conservation Strategy¹ included wider elements of human rights, governance issues, and international economic and national development strategies, as well as ecological perspectives (McDonald, 1996; Hossain, 1995). In addition, the release of *Our Common Future*, the Brundtland Commission report, in 1987, indicated that social, economic and environmental objectives needed to be interdependent in the development process, arguing that environmental catastrophes resulted from the growing demands made on scarce resources, the pollution caused by human activity and the environmental impoverishment which resulted from human poverty (Wheeler, 2004; OECD, 2002). In particular, the report gave overriding importance to the idea of creating a global partnership which would satisfy the essential needs of the world's poor and would prevent poverty from having a polluting impact on the environment. Despite this positive view, there has been criticism of this report due to its failure to define precisely the concept of 'needs' and its ambiguous approach to the desirability of economic growth (Wheeler, 2004). However, it is widely accepted that the Brundtland Commission report has played a significant role in introducing the idea of sustainable

¹ It was produced by the combined efforts of the United Nations Environment Programme (UNEP), the International Union for the Conservation of Nature (IUCN), and the World Wide Fund for Nature (WWF).

development into the real world by connecting present economic development with concern for future generations (Cuello and Durbin, 1995).

The Rio Declaration on Environment and Development in the 1990s

The second world conservation strategy, 'Caring for the Earth', which in 1991 called attention to actions at individual, local, national and international levels, influenced the Earth Summit, the United Nations Conference on Environment and Development held in Rio de Janeiro in 1992 (McDonald, 1996). The Earth Summit, which reaffirmed the 1972 Stockholm Declaration, aimed to produce an international declaration on environment and development and to establish a global partnership between various stakeholders. The Rio declaration suggested the following principles of sustainable development: environmental protection; eradication of poverty; global partnership; reduction of unsustainable production and consumption; improvement of scientific understanding; and promotion of an international economic system (UN, 2004).

In addition, the Rio declaration played an important role in reconciling the interests of developed and developing countries. This declaration suggested that development needed to be sustainable without inducing excessive environmental problems and restricting the rights and opportunities of future generations (OECD, 2002). In particular, Agenda 21, a comprehensive action plan promulgated with the Rio declaration, endeavoured to integrate social, economic and environmental values, and to promote partnerships and active public involvement (UN, 2004; OECD, 2002).

The Recent Wave of Sustainability

The 1996 Istanbul declaration on human settlements also contributed to establishing a global consensus on the need to provide adequate shelter for human beings and to create more sustainable human settlements (UN, 2004; Wheeler, 2004). The Kyoto Protocol was adopted in 1997 and came into force in 2005. It provided an important international framework for tackling climate change (Grubb *et al.*, 1999). The 2002 World Summit on Sustainable Development in Johannesburg, in which many governments, Non-Governmental Organisations (NGOs), and various interest groups participated, emphasised the implementation of Agenda 21 as a part of global action for sustainable development (UN, 2002). In particular, this summit recommended all countries to adopt concrete steps and to identify sustainable national development strategies for the implementation of Agenda 21 (UN, 2004; UN, 2002). In this way, the wave of sustainability has spread steadily outwards since the 1990s, reaffirming the importance of international, national and local partnerships, and of public involvement, in the implementation of sustainable development. In particular, in 2009, a 193-nation conference produced the Copenhagen Accord, which included the provision of financial support to overcome the impact of climate change, even though the conference did not provide detailed strategies for implementing its agreement (BBC News, 2009).

2.2.2 The Definition of Sustainable Development

The term ‘sustainability’ comes from the verb ‘to sustain’ which has various meanings, such as to support, to hold up and to endure (Shiva, 1992: 187). However, despite much

time and effort having been spent by commissions and research studies, it is still not easy to define the exact meaning of the concept, and to translate it into practice, because it is open to a range of interpretations in different fields (Cullingworth and Nadin, 2006; Beckerman, 1995). This suggests that in reality there is no worldwide consensus about what the concept implies (Berke, 2002).

A Definition of Sustainable Development

Some examples of definitions of sustainable development are presented in Table 2.1. Among these, one of the best-known was presented by the Brundtland Commission report. It defined sustainable development as ‘development that meets the needs of the present without compromising the ability of future generations to meet their own needs’.

Table 2.1 Some Definitions of Sustainable Development

<p>‘Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs.’ (WCED, 1987)</p> <p>‘Sustainable development is used in this strategy to mean: improving the quality of human life while living within the carrying capacity of supporting ecosystems.’ (IUCN, UNEP and WWF, 1991)</p> <p>‘Sustainable development is the complex of activities that can be expected to improve the human condition in such a manner that the improvement can be maintained.’ (Munro, 1995)</p> <p>‘For the business enterprise, sustainable development means adopting business strategies and activities that meet the needs of the enterprise and its stakeholders today while protecting, sustaining and enhancing the human and natural resources that will be needed in the future.’ (International Institute for Sustainable Development, 1996)</p> <p>‘Our strategy for sustainable development aims to enable all people throughout the world to satisfy their basic needs and enjoy a better quality of life without compromising the quality of life of future generations.’ (HMG, 2005)</p> <p>‘Sustainable development is a dynamic process which enables all people to realise their potential and improve their quality of life in ways which simultaneously protect and enhance the Earth’s life support systems.’ (London Sustainability Exchange, 2009)</p>

As mentioned before, the definition of the Brundtland Commission report has been criticised for the following reasons (Wheeler, 2004; Beckerman, 1995): first, it did not define the concept of 'needs' in detail (for example, needs may differ according to time, region, income levels, and cultural and national backgrounds); and second, it could be seen as speaking for big business interests in not questioning the desirability of economic growth. In this context, it has been considered debatable whether reconciling economics and ecology, even if that were possible, would produce sustainable systems (Wheeler, 2004; Shiva, 1992).

Strong Sustainability and Weak Sustainability

Despite the many definitions of sustainable development that have been produced, the characteristics of the concept can be divided into two categories (Cullingworth and Nadin, 2006; Selman, 1996; Beckerman, 1995; Shiva, 1992): strong sustainability, which focuses on nature as the primary source of sustenance; and weak sustainability, which involves the continued supply of industrial products through the substitutability of materials. When the concept of sustainability emerged for the first time, it was understood as a concept which emphasised the primacy of nature. This is related to strong sustainability. However, strong sustainability raised the question of whether it was necessary to preserve all plant and animal species at any cost. Thus, many environmentalists began to adopt weak sustainability as a more practicable concept which would allow the use of natural resources on the basis of the substitution of other resources and would aim at sustaining human welfare (Selman, 1996; Beckerman, 1995). This concept was based on the belief that economic growth could be harmonised with the conservation of the environment. Despite this positive view, Shiva (1992)

suggested that weak sustainability would undermine nature's capacity to support our present and future life. In particular, Shiva (1992) criticised the concept of sustainable development for reinforcing the primacy of capital.

Nowadays, the main challenge of sustainable development is to integrate the diverse concerns of environmental, economic and social interests (OECD, 2002). This suggests that weak sustainability dominates the current era, bringing considerations of environmental, economic and social capacity into the decision-making process, even though this may entail damage to biodiversity (Cullingworth and Nadin, 2006). To understand more fully the concept of sustainable development requires a detailed exploration of its perspectives. The next section introduces three perspectives of sustainable development.

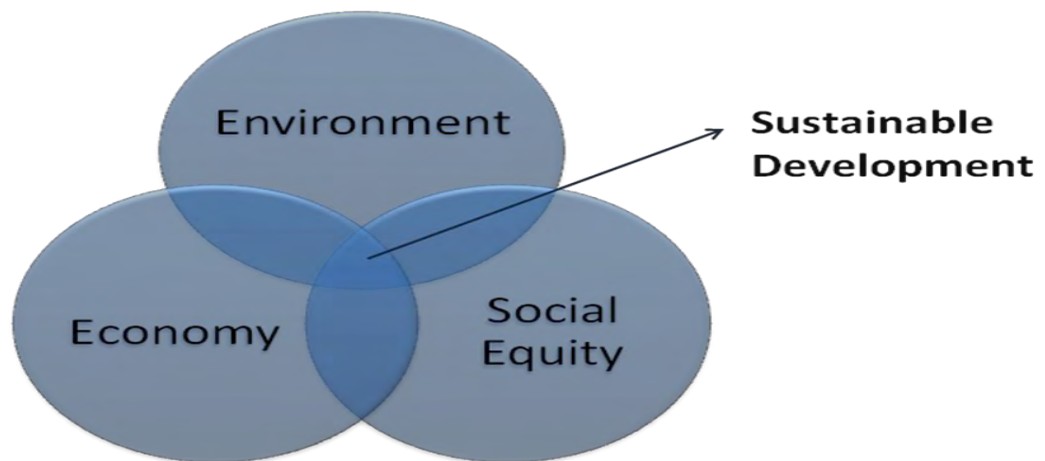
2.2.3 Three Perspectives of Sustainable Development

In the current period, in which weak sustainability predominates, the following three perspectives are central to the concept of sustainable development (Wheeler, 2004; OECD, 2002; Lang, 1995; Munro, 1994): first, environmental sustainability, which involves the maintenance of stable resources, the maintenance of biodiversity and the reduction of greenhouse gas emissions; second, economic sustainability, which requires that benefits surpass the cost of inputs, despite added costs due to environmental requirements; and third, social sustainability, which deals with equity issues such as economic disparity, inequitable resource distribution and environmental justice. Among these perspectives, the first priority of sustainable development is environmental

sustainability, because many urban populations have caused global environmental problems such as climate change through their economic development (Hall and Pfeiffer, 2000; McDonald, 1996). Along with environmental sustainability, contemporary society also requires consideration of aspects of economics and social equity, because complex issues cannot be solved without taking account of diverse concerns. In particular, urban development needs to be sustainable socially, economically and environmentally without damaging the environment and without ignoring the diverse values of economic growth and social justice (Wheeler, 2004).

However, it is not easy to integrate the various concerns of sustainable development, because stakeholders with diverse views may have different priorities (Wheeler, 2004; OECD, 2002; Lang, 1995): for example, ecological environmentalists may emphasise environmental concerns; economists may focus on incorporating environmental concerns into an economic framework; and equity advocates may regard structural inequality as their main concern. Based on this background, this section explores three perspectives of sustainable development in detail.

Figure 2.1 Three Perspectives of Sustainable Development



Environmental Sustainability

Among various perspectives on sustainable development, environmental sustainability is the most important one, because people have already caused many environmental problems, such as loss of species, depletion of resources, and environmental deterioration (Munro, 1995). Environmental sustainability is based on the fact that sustainable development needs to be within the limits of natural systems, maintaining resources and biodiversity as well as reducing the greenhouse gas emissions that have become a problem (Berke, 2002).

Environmental sustainability has been focused on at various points in recent history (Wheeler, 2004). Thiele (1999) identifies four waves of environmentalism in the USA: the first wave was related to the proper use of natural resources and the conservation of the wilderness in the late 19th century; the second wave was the awareness of environmental problems in the 1960s; the third wave was represented by social movements concerned with public policies in the 1980s; and the fourth wave is the recognition of the interdependence between humans and nature in a global environment at the present time. With regard to the concerns of environmentalism, there has been a shift of emphasis from the wilderness and wildlife of the late 19th century to various global environmental issues that arose between the 1960s and the 2000s. In particular, since the influence of the 'Limits to Growth' debate of the 1970s, there has been a partial change in environmentalism, away from anthropocentric attitudes, towards more ecocentric approaches (Wheeler, 2004). In addition, environmental sustainability encourages people to endeavour to care for other people and to improve the quality of human life within the capacity of the ecosystems (Munro, 1995).

Economic Sustainability

Many urban populations are still short of the resources to satisfy their basic demands – for example, demands for adequate shelter and good health (Hall and Pfeiffer, 2000). Therefore, sustainable development needs to involve economic growth as well as the conservation of the environment. Economic sustainability requires that benefits surpass the cost of inputs, even though meeting environmental requirements brings added costs (Munro, 1995). However, it is not easy to achieve a balance between benefit and cost, because it is difficult to put a price on environmental quality or social equity. Capitalist economics has had many deficiencies which have weakened sustainability, because it has not been able to reflect the long-term social and environmental impacts of issues (Wheeler, 2004). In addition, economic sustainability is criticised for entailing a continuous supply of industrial products, the production and use of which may cause environmental degradation (Shiva, 1992).

Many other strategies have been developed to reorganise capitalist economics to reconcile environmental, social and economic goals. For example, steady-state economics sought to hold population and consumption constant. Environmental economics aimed to reduce pollution and other environmental impacts of production. Ecological economics pursued more fundamental reform, considering the economy as a part of ecological interaction. In addition, socially responsible movements such as shareholder campaigns regarding ethical investment and related environmental and equity concerns grew between the late 1970s and the early 2000s (Wheeler, 2004). In this context, economic sustainability has focused on the benefits of economic growth, acting in harmony with environmental and social concerns.

Social Sustainability

The world is still suffering from poverty². The poor, particularly in southern Asia and Africa, are estimated to suffer more damage from climate change than the people of developed countries (Parry and Livermore, 2002). The developing countries lack the resources for a decent life. Even in the developed world, poor people are still poor, isolated from the rich. Inequalities have been aggravated by many factors such as economic power and the results of climate change, which have given rise to diverse social issues: for example, economic disparity between rich and poor communities, concentrations of poverty, inequitable distribution of resources and environmental justice. With regard to social sustainability, sustainable development needs to pursue social integration as well as income distribution (Hall and Pfeiffer, 2000).

In particular, inequalities have been propagated through the public decision-making processes, because the disadvantaged, such as lower-income or minority groups, have been excluded from making an input into public policies since they do not have the skills, professional knowledge and time for participation (Wheeler, 2004). Moreover, inequalities are related at a deep level to concerns about environmental justice which focuses on the problems that the disadvantaged groups experience, for example accidents such as exposure to toxic chemicals and pollution and on-going disadvantages such as exclusion from basic social services such as good schools (Hall and Pfeiffer, 2000). Thus, social sustainability has taken steps to improve these problems through income re-distribution, public involvement and social integration (Wheeler, 2004).

² Nearly 800 million people are suffering from food shortage due to extreme poverty and it is estimated that an additional 80 million people will be at risk of hunger due to climate change by the 2080s (Parry and Livermore, 2002).

2.3 National Strategies and Global Partnership

2.3.1 National Sustainable Development Strategies

Sustainable development is considered a kaleidoscope paradigm, because the concept can be interpreted in diverse ways by different peoples and in different countries (OECD, 2002). For instance, the developing countries may pay more attention to economic development, whereas the developed countries may strengthen environmental and social measures (McDonald, 1996). Against this background, this section explores various national strategies for sustainable development in order to obtain a clear vision of sustainable development as it is currently experienced (OECD, 2002).

The 2002 World Summit on Sustainable Development (WSSD) suggested the importance of adopting a national strategy for sustainable development as an approach to achieving the goal of sustainable development. Having a national strategy promotes a clear understanding of sustainable development through the governments' policies, so that all people may contribute to the overall goal through their individual decisions on the most pressing current environmental, economic and social problems (HMG, 2005). In addition, national strategies play a significant role in connecting long-term visions to medium-term targets and short-term action plans, linking social, economic and environmental perspectives horizontally, forming a close relationship between local, national and global policy vertically, and establishing valid partnership between the public, private and voluntary sectors and communities (OECD, 2002).

However, the context of and priorities for national strategies depend on the characteristics of individual countries, even though the main challenge they need to meet is to integrate diverse concerns such as environment, economy and equity, (Wheeler, 2004; OECD, 2002). Thus, this section attempts to introduce the different features of various national strategies for sustainable development, analysing some examples, as illustrated in the Table 2.2 below.

Table 2.2 Various National Strategies for Sustainable Development

Europe	<p>EU: The Strategy for Sustainable Development of the EU (2001), The Declaration of the EU Council (2005)</p> <p>UK: Sustainable Development: The UK Strategy (1994), A Better Quality of Life – Strategy for Sustainable Development for the UK (1999), Building a Better Quality of Life – A Strategy for more Sustainable Construction (2000), Securing the Future – Delivering UK Sustainable Development Strategy (2005)</p> <p>Sweden: Swedish Strategy for Sustainable Economic, Social and Environmental Development (2002)</p> <p>Germany: Prospect for Germany, Our Strategy for Sustainable Development (2002)</p> <p>Denmark: Denmark’s National Strategy for Sustainable Development: A Shared Future - Balanced Development (2002)</p> <p>Switzerland: Sustainable Development Strategy (2002)</p> <p>Poland: Sustainable Development for Poland up to 2025 (2000)</p> <p>Greece: The Greek National Strategy Towards Sustainable Development (2002)</p> <p>Finland: The Finnish Government Programme for Sustainable Development (1998)</p> <p>Netherlands: A National Strategy for Sustainable Development – What Choices Must the Government Make (2001)</p>
Asia	<p>South Korea: The National Action Plan for Agenda 21 (1996), New Millennium National Environmental Vision (2000), The National Vision for Sustainable Development of Korea (2005), National Strategy for Sustainable Development of the Republic of Korea (2006)</p> <p>China: China’s Agenda 21 (1994), Programme of Action for Sustainable Development in China (2007)</p> <p>Philippines: The Philippine Agenda 21: A National Agenda for Sustainable Development for the 21st Century (1997), Enhanced Philippine Agenda 21 (2004)</p> <p>India: Empowering People for Sustainable Development (2002)</p> <p>Japan: Basic Environment Plan (2000)</p>
Africa	<p>Nigeria: The National Conservation Strategy (1988), The National Environmental Action Plan (1990)</p> <p>Cameroon: The Poverty Reduction Strategy Paper (2003)</p> <p>South Africa: White Paper on Environmental Management Policy (2004)</p> <p>Morocco: The National Strategy for the Protection of the Environment and Sustainable Development (1995), The National Plan of Action for the Environment (1998)</p>
Latin America	<p>Mexico: The 2001-2006 National Development Plan (2001), The National Programme of the Environment and Natural Resources (2001)</p> <p>Brazil: The Brazilian Agenda 21 (2002)</p> <p>Costa Rica: The 1988 ECODES Sustainable Development Strategy (1988)</p>

National Strategies for Sustainable Development in Europe

The European Union (EU) developed a sustainable development strategy for its countries in 2001, and this included the following issues (IISD, 2004): limiting climate change and increasing the use of clean energy; addressing threats to public health; managing natural resources more responsibly; improving the transport system and land-use management; combating poverty and social exclusion; and dealing with the economic and social implications of an ageing society. In addition, the European Union Council declared four principles for sustainable development in 2005 (Council of the European Union, 2006): environmental protection, social equity and cohesion, economic prosperity and meeting international responsibilities. Along with the EU's strategy, various national strategies were developed and revised by many European countries including the UK, Sweden, Germany, Denmark, Switzerland, Poland, Greece, Finland and the Netherlands. From these, this section introduces the example of the UK's strategies, because the UK has been a leader among European countries in establishing and implementing national sustainable development strategies and because the strategies of most other countries have similar features.

The UK has aimed to achieve the goals of sustainable development since the end of the 19th century, following its experience of severe environmental degradation (Cullingworth and Nadin, 2006). It has established various national sustainable development strategies since the 1992 Rio Earth Summit (Cullingworth and Nadin, 2006; ODPM, 2005a; IISD, 2004; DETR, 2000): it published its first national strategy, *Sustainable Development: The UK Strategy*, in 1994; drew up *A Better Quality of Life – Strategy for Sustainable Development for the UK* in 1999; published *Building a*

Better Quality of Life – a Strategy for more Sustainable Construction in 2000; and superseded the 1999 strategy with Securing the Future – Delivering UK Sustainable Development Strategy in 2005. Furthermore, these national strategies encouraged regional bodies and local governments to establish their own regional and local strategies.

The 2005 UK strategy for sustainable development includes five principles: environmental conservation and enhancement which respects the limits of the planet's environment, resources and biodiversity; a strong, healthy and just society which promotes social integration, equity and personal wellbeing; a sustainable economy which brings prosperity based on stable employment; good governance which involves effective and participatory governance systems at all levels of society; and lastly, sound science which supports the implementation of policy (HMG, 2005). This strategy also suggests the necessity for a sustainable development action plan (DCLG, 2008).

National Strategies for Sustainable Development in Asia

In the last two decades, many Asian countries, for example, South Korea, China, the Philippines, India and Japan, have developed and revised national strategies for sustainable development. From the 1960s on, South Korea had experienced rapid economic growth, which had brought about ill-balanced development. To cope with this problem, South Korea has, since the 1990s, established various national sustainable development strategies (Republic of Korea, 2006b): it formulated the National Action Plan for Agenda 21 in 1996; declared the New Millennium National Environmental Vision in 2000; promulgated the National Vision for Sustainable Development in 2005;

and established the National Strategy for Sustainable Development of the Republic of Korea, holding consultations with various stakeholders, in 2006. The 2006 strategy included the following four policy areas: sustainable natural resource management; social integration and the promotion of national health; sustainable economic development; and climate change and global environmental issues. The strategy selected 48 tasks for implementation and 77 indicators of sustainable development. The 2007 Framework Act on Sustainable Development also aimed to achieve a sustainable future, balancing economic growth, environmental conservation and social integration.

China has also experienced rapid economic growth during recent decades, which has caused serious environmental degradation and social inequality. China's growth in particular has had a major influence on global sustainability, due to the size of its population, its land and its energy use (Mol and Carter, 2006; Miller, 1995). For this reason, China has produced national strategies for sustainable development since the 1992 Earth Summit (ESCAP Virtual Conference, 2008; NDRC, 2007): it adopted China's Agenda 21 in 1994; and promulgated the Programme of Action for Sustainable Development in China in the Early 21st Century in 2007. The latter embodied the following principles of sustainable development: economic restructuring; the relief of poverty; human resource development; capacity building; and resource development and environmental protection.

National Strategies for Sustainable Development in Africa

Africa is the continent which is the most vulnerable to climate change, if greenhouse gas emissions are not reduced, because it experiences more frequent and intense natural

disasters, including floods, storms and droughts (UN News Centre, 2009). For example, a research study carried out by the British Council in Nigeria estimated that climate change in Nigeria would result in severe food and water shortages (Guardian Newspapers, 2009). Nigeria's national strategy for sustainable development was promulgated by the Nigerian government in the National Conservation Strategy (NCS) of 1988, and by the World Bank in the National Environmental Action Plan (NEAP) of 1990 (IUCN, 1997). The NCS focused on the conservation of natural resources and biodiversity, while the NEAP gave priority to a development plan. Many other African countries, such as Kenya and Zambia, have also established national-level strategies based on the NEAPs, as demanded by the World Bank (ibid).

In the case of Cameroon, which has abundant natural resources such as petroleum, the national strategy is made up of several strategies such as the National Environmental Management Plan (NEMP) and the Poverty Reduction Strategy Paper (PRSP). Although the NEMP is cited by the government of Cameroon as its national strategy, the PRSP represents the details of national strategy, integrating economic, environmental and social perspectives (IISD, 2004). South Africa too has endeavoured to achieve the goals of sustainable development through a government planning system. The national strategy for South Africa, White Paper on Environmental Management Policy, published in the 1997, is aimed at achieving a society with sufficient food, clean air and water, decent homes and green spaces, in which people live in harmony with their natural surroundings (ibid). As a final example, Morocco established the National Strategy for the Protection of the Environment and Sustainable Development in 1995, and followed this with the National Plan of Action for the Environment in 1998.

National Strategies for Sustainable Development in Latin America

Latin America experienced social and economic collapse and severe environmental degradation in the wake of the debt crisis of the 1980s (O'Brien, 1991). Even though its external debt has fallen in the 2000s, Latin America still suffers from the challenges of poverty (IMF, 2009). This section introduces the examples of Mexico and Brazil.

Mexico does not have a national strategy for sustainable development embodied in a single document. However, the 2001-2006 National Development Plan established by the Mexican President includes a requirement for a sustainable development strategy (IISD, 2004). In addition, the National Programme for the Environment and Natural Resources complements the National Development Plan. This programme includes six main goals: integrated ecosystem management; policy integration; environmental management; provision of environmental services; enforcement of environmental legislation; and participation and transparency.

In Brazil, the Brazilian Agenda 21 enacted in 2002 aims to implement the goals of sustainable development, balancing economic growth, social equity and environmental conservation, even though it is not officially mentioned by the government as a national strategy (IISD, 2004). The Agenda includes five policy areas: economic growth in the 'knowledge society'; social inclusion in order to produce greater solidarity in society; a strategy for urban and rural sustainability; conservation of strategic natural resources, including water, biodiversity and forests; and governability and ethics for the promotion of sustainability.

2.3.2 Differences and Limitations in National Sustainable Development Strategies

Many countries, including developing and developed countries, have taken steps to achieve the goals of sustainable development through various national strategies which attempt to integrate the three dimensions of environment, equity and economy. However, there is some difference between national strategies due to the ambiguity and flexibility of the concept of sustainable development. For example, developed countries such as the UK have endeavoured to pursue concerns such as environmental conservation, social integration and a sustainable economy, while developing countries such as Nigeria still give priority to economic development rather than environmental enhancement (HMG, 2005; IUCN, 1997; Redclift, 1987).

In addition, the diverse national strategies provide diverse approaches to policy tools for implementing sustainable development, with each strategy influenced by its specific regional situation. For example, China has paid little attention to establishing national sustainable development indicators, whereas most developed countries have created a set of such indicators in order to give people objective and comparable information about sustainable development (Yuan *et al.*, 2003). In addition, the UK considers community engagement as a requisite factor for sustainable development, encouraging community-based NGOs to promote community engagement, while China and Nigeria still have a top-down model which does not recognise the importance of public participation in decision-making processes (HMG, 2005; ODPM, 2004; Yuan *et al.*, 2003; IUCN, 1997; Miller, 1995). These differences not only create diverse outcomes

in terms of sustainable development, but also give rise to criticism about a failure of communication between peoples (OECD, 2002).

In addition, national sustainable development strategies still have limitations: for example, some countries, such as the United States, do not even have national sustainable development strategies, despite expending much time and effort on sustainable development (UN, 2008; OECD, 2006); some countries such as Mexico regard a national development plan as a national strategy for sustainable development (IISD, 2004); and many African countries have implemented the development-oriented NEAPs which were demanded by donors such as the World Bank, instead of pursuing the three perspectives of sustainable development. Thus, it can be concluded that achieving the goals of sustainable development requires more than national strategies, even though national strategies contribute to promote a clear understanding of sustainable development.

2.3.3 Global Partnership for Sustainable Development

Sustainable development in the world requires global cooperation in order to reconcile the interests of developed and developing countries (Malanczuk, 1995). In particular, a global partnership for sustainable development is a prerequisite for tackling global issues such as the reduction of greenhouse gas emissions (ibid). If the world continues to increase greenhouse gas emissions through unsustainable economic development, it will experience serious global catastrophe as well as environmental repercussions (Miller, 1995). In this context, the most developed countries have forced the countries

of the third world to change their forms of development and to make them more sustainable (ibid).

However, there have been conflicts between developed and developing countries, because the economic growth of developing countries has been based on vulnerable foundations such as limited resources and insufficient technologies. Thus, some scholars (Grainger, 1997; Miller, 1995; Malanczuk, 1995) point out the necessity for a global consensus, suggesting that the industrialised world needs to cooperate with the third world by providing financial and technical support, because this aid will encourage the third world to alleviate poverty and to address issues of sustainability. Against this background, the Copenhagen Accord in 2009 included agreement on: financial support of \$30bn (£ 18.5bn) for developing countries over the next three years; and the outline of a goal which would provide \$100bn a year by 2020 to support poor countries in their struggle to overcome the impacts of climate change (BBC News, 2009).

2.4 The Principles of Sustainable Development

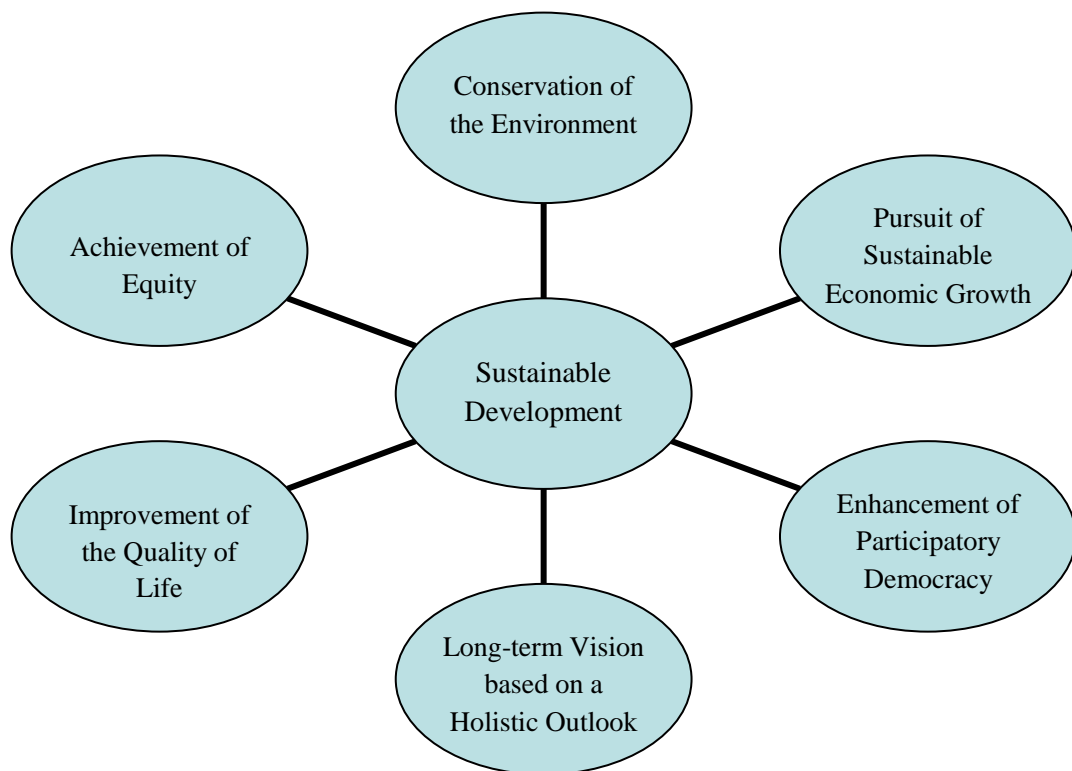
The world has endeavoured to achieve the goals of sustainable development through various national strategies, and through global cooperation. The national strategies have different approaches to the implementation of sustainable development, because the characteristics of sustainable development as outlined in those strategies depend upon specific local, regional and national situations. However, despite the differences, it is important to establish general principles of sustainable development, because the

achievement of sustainable development has been a worldwide goal since the 1990s and has already led to a certain degree of global consensus about diverse global issues (Wheeler, 2004; OECD, 2002; Selman, 1996).

Drawing on this background, and on a review of the relevant literature, this section seeks to find out the main principles of sustainable development as a kind of benchmark. With regard to these principles, the 1991 IUCN/WWF/UNEP report, *Caring for the World*, emphasised the following aspects: conservation of natural resources and the biological environment of the earth; a change in the pattern of economic development; a long-term vision and comprehensiveness (Okoth-Ogendo, 1995). Matoba (2003: 70) pointed out the following key factors: conservation of natural resources and ecological diversity; changing the current patterns of economic growth and development; eradication of poverty and improving the quality of life; social justice and equity; long-term commitment; comprehensiveness; participation; and moral and ethical reorientation. For Harris (2000), the basic principles consist of: conservation of natural capital for sustainable economic production and intergenerational equity; maintenance of ecosystems and diversity; limitations on both population and total resource demand; satisfaction of social equity, health and educational needs; and enhancement of participatory democracy. Furthermore, Selman (1996) illustrated three fundamental principles: preserving the human and natural environment for the next generation; meeting all human needs, in particular, the needs of the world's poor; and recognising the influence of human activities on the environment and the resources of the world.

Thus, the relevant literature (Wheeler, 2004; Matoba, 2003; OECD, 2002; Selmon, 1996; Okoth-Ogendo, 1995; Munro, 1995; Viederman, 1995; Malanczuk, 1995; UNDP, 1993) suggests the following as the main principles of sustainable development: conservation of the environment; pursuit of sustainable economic growth; achievement of equity; improvement of the quality of life; enhancement of participatory democracy; and a long-term vision based on a holistic outlook.

Figure 2.2 The Main Principles of Sustainable Development



2.4.1 The Conservation of the Environment

The concept of sustainable development emerged from the belief that modern economic growth had brought the world close to the ultimate limits of growth in relation to nature,

which was the primary source of sustenance that underpinned human lives and livelihoods (Wheeler, 2004; Meadows *et al.*, 1972). Thus, in the pursuit for sustainable development, priority has been given to the conservation of the environment, suggesting that development needs to be within the capacity of the supporting ecological system. However, the world has been faced with unprecedented environmental challenges caused by human activity. There has been unsustainable development, due to severe poverty, which has caused serious environmental problems (Hall and Pfeiffer, 2000). In addition, urban economic development is still increasing carbon dioxide emissions, because of ever-increasing demand from growing populations (*ibid*). Therefore, ecological sustainability is still regarded as the most important factor over the next few decades, even though achieving the goals of sustainable development requires harmonising diverse perspectives (Munro, 1995; Shiva, 1992). With regard to the environment in urban areas, some scholars (Jones and Evans, 2008; Evans, 2002) suggest that urban areas are important for ecological sustainability, describing urban brownfield sites, such as abandoned industrial facilities, as a better place for biodiversity in a varied habitat than the open countryside.

2.4.2 The Pursuit of Sustainable Economic Growth

Urban economic development has threatened the global ecosystem by exhausting non-renewable resources, causing pollution and contamination and destroying biodiversity (Hall and Pfeiffer, 2000). Thus, it is important to pursue sustainable economic growth, which incorporates environmental concerns within an economic framework (Wheeler, 2004). This aim requires a balance between benefit and cost, while meeting

environmental requirements (Munro, 1995). The important factor in the pursuit of economic sustainability is to change current patterns of economic growth into more sustainable ones which take account of their long-term environmental and social impacts (Matoba, 2003; Harris, 2000). However, developing countries continue to be faced with problems of poverty which induce them to pursue unbridled economic development from a basis of limited resources and insufficient technologies (Miller, 1995). This suggests that sustainable economic growth in the world needs global cooperation which includes financial and technical transfers from the developed to the developing countries as compensation for implementing sustainable economic development (Grainger, 1997; Miller, 1995; Malanczuk, 1995). For example, the Clean Technology Fund (CTF) initiated by the World Bank has provided developing countries with financial and technical support to help them reduce the intensity of their carbon emissions (Climate Investment Funds, 2009).

2.4.3 The Achievement of Equity

The achievement of equity is often expressed in terms of a distribution of income sufficient to ensure a decent life for all. To begin with, ‘intra-generational equity’ within current generations of human beings emphasises social justice, which gives priority to all human needs in the contemporary era in order to cope with inequalities due to economic power and globalisation (Wheeler, 2004; Selman, 1996: 11). McDonald (1996) focuses on the equitable distribution of benefits and costs in various fields such as the environment, employment, social security and community culture. In particular, climate change is expected to result in a shortage of food, which will

aggravate inequalities between people, regions and countries (Parry and Livermore, 2002). Secondly, 'inter-generational equity' between present and future generations assumes that one generation should leave the earth to the next generation in a good condition (Selman, 1996). This suggests that it is necessary to meet all the needs of present and future generations equitably, within the capacity of ecosystems to support life (Okoth-Ogendo, 1995). However, intra-generational equity is not easily put into practice, compared with inter-generational equity. For example, people tend to want their taxes invested in improving the energy efficiency of public facilities in their own region, while hesitating to invest them in constructing public facilities in other, often poorer, areas (Jepson, 2001).

2.4.4 Improving the Quality of Life

The Brundtland Commission report suggested practical strategies to meet basic human needs and to pursue a better quality of life without compromising the quality of life of future generations (Cuello and Durbin, 1995). Since then, many strategies and declarations on sustainable development have emphasised the importance of improving the quality of human life. In particular, achieving an acceptable quality of life is still related to eradicating severe poverty, because the poor in developing countries lack essential resources such as sufficient food, adequate shelter, good health and basic security (Hall and Pfeiffer, 2000; Redclift, 1987). It is widely believed that this poverty problem in developing countries can be tackled through a global partnership as well as income re-distribution, particularly when it comes to meeting the needs of the poorest people (Hall and Pfeiffer, 2000; Malanczuk, 1995; Redclift, 1987). In the developed

world there is also poverty, and here the poor are being isolated from mainstream society, causing them to commit antisocial actions, even where the worst poverty has almost been overcome through welfare systems (Hall and Pfeiffer, 2000). Thus, in a contemporary diverse society, implementing sustainable development means considering social integration through a supportive community as well as devising social welfare policies based on income re-distribution (Hall and Pfeiffer, 2000).

2.4.5 The Enhancement of Participatory Democracy

There has been a general shift from a top-down movement to a bottom-up one in decision-making processes, due to the enhancement of participatory democracy in the transition from the industrial to the information age (Hyden *et al.*, 2004; Carnoy and Castells, 2001). The voluntary sector has contributed to this change, encouraging people to participate more actively in the making and implementation of decisions (Harris, 2000; McDonald, 1996; Robinson, 1994). The enhancement of participatory democracy has induced people to become more socially integrated by establishing an intensively networked community with supportive neighbourhoods and has contributed greatly to social coherence (Hall and Pfeiffer, 2000). The principles of the Rio declaration and Agenda 21 also concentrate on more active public involvement in the decision-making process when it comes to sustainable development (UN, 2004; OECD, 2002; Malanczuk, 1995). Nowadays, the participation of all concerned citizens is indispensable to coping with various environmental and social issues, because local people, who have plentiful practical knowledge of their area, built up through the everyday life, are able to offer innovative ideas and provide legitimacy for actions (Sullivan and Skelcher, 2002;

Healey, 1998). However, reaching a consensus through participatory democracy is difficult, because participants tend to represent their own preferences rather than common goals (Tewdwr-Jones and Allmendinger, 1998; Jessop, 1998). Thus, it is suggested that effective participatory democratic processes require the transformation of political culture and institutional designs (Tewdwr-Jones and Allmendinger, 1998).

2.4.6 A Long-term Vision based on a Holistic Outlook

The establishment and implementation of a long-term vision require a holistic outlook which integrates environmental, economic and social perspectives horizontally and harmonises the different strategies of local, regional, national and global levels vertically (Wheeler, 2004; OECD, 2002). A long-term vision is the most fundamental factor among the principles of sustainable development, because it reflects the diverse and comprehensive demands of both present and future generations (Wheeler, 2004; Matoba, 2003; Okoth-Ogendo, 1995). In particular, policies for sustainable economic growth need to take account of the long-term environmental and social impacts they will have (Matoba, 2003; Harris, 2000). In addition, a sustainable development strategy needs to link the long-term vision to all short-term action plans, inducing cooperation to this end between various stakeholders such as the public, private and voluntary sectors and local communities. This suggests that small action plans need to be founded on a long-term vision for sustainable development and that a long-term vision needs to be established by a bottom-up process based on the participation of all stakeholders (Wheeler, 2004; OECD, 2002).

2.5 How to Implement the Principles of Sustainable Development

2.5.1 Governance for Sustainable Development

The six principles of sustainable development described above are not easy to satisfy in a complex, dynamic and diverse society, because integrating different elements of sustainable development depends on the specific local, regional and national situations and on the human power of a variety of stakeholders (Wheeler, 2004; OECD, 2002; Lang, 1995). Thus, it is necessary to think about the question of how to implement the principles of sustainable development.

Many countries have developed national strategies which reflect specific national characteristics as an approach to implementing the principles of sustainable development. However, those national strategies are limited in the degree to which they can integrate the diverse perspectives of sustainable development, due to the specific situations of the countries that have devised them. Some scholars (Jepson, 2001; Selman, 1996; McDonald, 1996; Hossain, 1995; Okoth-Ogendo, 1995) suggest that implementing the principles of sustainable development requires a specific political system which contains effective public involvement, a commitment to consensus-building and good governance. Agenda 21 of the Rio Declaration of 1992 also confirms that active public involvement and consensus-building are indispensable to implementing the principles of sustainable development (Selman, 1996). Thus, the thesis focuses on the concept of governance, because governance is a system which

includes a consensus-building process and public involvement, involving various stakeholders with different purposes (Innes and Booher, 2004; Hall and Pfeiffer, 2000).

Since the 1990s, there has been a big shift from hierarchical government to governance due to challenges such as globalisation, decentralisation and the growth of civil society (Durose and Rummary, 2006; Newman *et al.*, 2004; Richards and Smith, 2002). Governance has influenced policy-making processes in changing global circumstances, emphasising a shift from government to citizens, and from a top-down process to a bottom-up one. Governance can be regarded as a driving force to implement the principles of sustainable development, because governance has the ability to integrate the diverse concerns of sustainable development (Innes and Booher, 2004; Hall and Pfeiffer, 2000; Ginther, 1995; Boer, 1995). In particular, the thesis focuses on collaborative governance among various governance fields, because collaborative governance is able to help all stakeholders combine various perspectives and reach agreement in pursuit of a common goal (Ansell and Gash, 2008; Healey, 2006).

However, a question arises as to whether the outcome of governance would always favour sustainable development. With regard to this question, Innes and Booher (1999a: 420) answer 'Yes', resolutely, because they think that a solution achieved through a consensus-building process must satisfy the diverse concerns of sustainable development. Their answer may be right, in that the multi-dimensional goals of sustainable development can be achieved through a governance system which encourages various stakeholders to participate in the decision-making process and implementation (Innes and Booher, 2004; Ginther, 1995; Boer, 1995). However,

sustainable outcomes may depend on the quality of elements of a governance system. Thus, Chapter 3 will explore the concept of governance and discuss the characteristics of collaborative governance as an approach to implementing the principles of sustainable development in detail.

2.5.2 Planning for Sustainable Development

Governance needs an effective system to implement the principles of sustainable development (Selman, 1996). It is believed that a planning system is the most effective means to implement the principles of sustainable development, because a planning system has sufficient capacity to integrate the diverse concerns of sustainable development, involving inclusive disciplines, diverse actors and cooperative institutions (Jepson, 2001; Selman, 1996).

Planning can be defined as ‘the making of an orderly sequence of action that will lead to the achievement of a stated goal or goals’ (Hall, 2002: 1). Some scholars (McDonald, 1996; Selman, 1996) suggest that an urban planning system is able to deal with various concerns about renewable and non-renewable resources, biodiversity, equity, basic human needs and citizen participation. Wheeler (2004: 34-43) identified five features necessary to a contemporary plan for sustainable development: a long-term perspective; a holistic outlook; acceptance of limits; a focus on local places and communities; and active involvement in problem-solving.

However, with regard to the characteristics of planning, implementing the principles of sustainable development requires more detailed approaches. For example, a planning system for sustainable development needs to consider vertical and horizontal integration, in order to overcome some obstacles related to spatial scales and horizontal coordination (McDonald, 1996): first, the implementation of sustainable development needs to integrate global, national, regional and local frameworks, for example, international agreements, national laws, regional policies and local plans; and second, sustainable development needs to integrate ecological, economic and social concerns at the same time, horizontally, through comprehensive plans. This suggests that implementing the principles of sustainable development needs a new paradigm of urban planning which integrates diverse concerns.

Based on this background, it is important to examine whether the characteristics of a planning system correspond to the features of governance. Some scholars (Jepson, 2001; Selman, 1996) suggest that a contemporary planning system shares the features of governance, in that it uses participative approaches such as the active public involvement of diverse actors. In particular, a planning system is able to help people build up a relational web with each other, tackle complex issues and implement the principles of sustainable development, because its governance features encourage various stakeholders to participate in open debates through dialogue and interaction (Healey, 2006; Cullingworth and Nadin, 2006; Harrison *et al.*, 2004; Innes and Booher, 2004; Rydin, 2003). However, a traditional planning system simply focuses on scientific rationalism in the culturally homogeneous community with a public interest. Thus, Healey (2006) suggests that a complex society requires a new paradigm of

planning based on interpretive approaches which recognise the diverse ways of living in pluralist societies. Collaborative planning is based on interpretive approaches (Healey, 2006). Thus, Chapter 4 explores the characteristics of collaborative governance in a contemporary planning system in detail, particularly focusing on collaborative planning which includes various elements of collaborative governance.

2.6 Conclusion

Nowadays, the main challenge for sustainable development is to integrate a diverse range of environmental, social, and economic considerations. This chapter has explored the concept of sustainable development; it has looked at various national strategies for sustainable development; and it has examined the principles of sustainable development through a review of the relevant literature. This chapter suggests that governance is a system that may be effective in implementing the principles of sustainable development, because it has the capacity to integrate the diverse concerns of sustainable development. Furthermore, it indicates that governance needs a planning system based on interpretive approaches, if it is to implement effectively the principles of sustainable development. On the basis of these reviews, the next two chapters will explore the features of governance and planning for sustainable development, particularly focusing on collaborative governance and collaborative planning.

CHAPTER 3

COLLABORATIVE GOVERNANCE

3.1 Introduction

Much of the literature suggests that implementing the principles of sustainable development needs a political system which encourages effective public involvement, consensus-building and good governance (Jepson, 2001; Selman, 1996; McDonald, 1996; Hossain, 1995; Okoth-Ogendo, 1995). This chapter focuses on collaborative governance as such a system, in the belief that this new form of governance is able to help stakeholders integrate the diverse concerns of sustainable development and reach agreement in pursuit of a common goal (Ansell and Gash, 2008; Healey, 2006; Innes and Booher, 2004; Hall and Pfeiffer, 2000; Ginther, 1995; Boer, 1995). In particular, the demand for collaborative governance has been increasing due to the distribution of specialised knowledge and the intense interdependence of institutions in an information age (Ansell and Gash, 2008).

The literature highlights some of the practical problems associated with the implementation of collaborative governance, because, despite its global popularity, there have been many cases where collaborative governance has resulted in frustration

due to various shortcomings such as superficial consultation procedures or too much time and effort being required of participants (Helling, 1998). In particular, several authors illustrate the failure of collaborative governance using practical examples related to urban planning (Futo *et al.*, 2006; Demetropoulou *et al.*, 2006; Kwon *et al.*, 2006; Harrison *et al.*, 2004; Baiocchi, 2003). Nevertheless, there is also plenty of literature that offers positive perspectives, depicting a collaborative approach as a new strategy for dealing with issues of sustainability in a complex society (Healey, 2003; Innes and Booher, 1999b). Because of these different attitudes, it is necessary to adopt a careful approach when examining the characteristics of collaborative governance.

This chapter begins with a brief outline of the concept of governance before exploring collaborative governance in detail. Then, the rest of the chapter explores the concept and the key features of collaborative governance, both in its theory and practice, along with a critical evaluation of collaborative governance.

3.2 Governance

3.2.1 Background

The concept of governance has a long history, with most countries having developed their own type of governance through interaction between rulers and ruled against the background of their history, customs, law and society (Alcantara, 1998; Brautigam, 1991). The origin of governance is rooted in the 17th century Germanic tradition and the

18th century Enlightenment³ (Brautigam, 1991). In the 19th century, the establishment of popular associations such as trade unions encouraged people to participate in political activities (ibid). Nowadays, the concept of governance has evolved further, due to changes in the role of government, particularly the changing nature of the policy-making process (Kjaer, 2004; Richard and Smith, 2002; Rhodes, 1996).

Several scholars have argued that the role of government has been changed by the effects of globalisation, internationalisation and privatisation since the late 1980s, even though the public sectors of individual nations had played a leading role, affecting economic development and social cohesion, in the 1970s and the early 1980s (Kjaer, 2004; Richards and Smith, 2002; OECD, 1995). Several challenges such as deregulated markets, powerful international forces and active civil society have begun to emerge, and these have induced governments to look for a new strategy to strengthen their relationship with other parts of society in order to survive in a governance era (Pierre, 2000b; OECD, 1995; Kooiman and Vliet, 1993; UNDP, 1993).

This suggests that government needs to involve other sectors, such as the private sector, and even international bodies, in the decision-making process (Richards and Smith, 2002; Hirst, 2000). Against this background, the next section explores the definition of governance.

³ In the 18th century, the pressure of elites caused parliament to legislate and share responsibility for national policy. This move had its roots in Magna Carta in 1215, the first action taken by social elites to make the ruler accountable (Brautigam, 1991: 4).

3.2.2 The Definition and Uses of Governance

The etymology of governance is the Greek verb ‘kubernan’ which means ‘to pilot or steer’ (Kjaer, 2004: 3). As some dictionaries define governance as ‘the process of governing a country or organization’ or ‘the action or manner of governing’ (Oxford University Press, 2004; Macmillan Education, 2002), the term is likely to be treated as a synonym for government (Kjaer, 2004). However, the concept of governance is distinct from government, because it involves a complex interplay among various stakeholders in the public arena (Clayton, 1994). Several scholars define governance as a new process of governing in which a variety of actors govern the public arenas through mutual interaction (Kjaer, 2004; Hyden *et al.*, 2004; Pierre, 2000a; Rhodes, 1997). In addition, governance is considered as a ‘meta-activity’ which formulates the rules which control the following arenas⁴: government, the bureaucracy, civil society, political society, economic society and the judicial system (Hyden *et al.*, 2004). Some examples of definitions of governance are presented in Table 3.1 below.

With regard to the concept of governance as a new process of governing in the public arenas, there are two distinct viewpoints: ‘Governing without government’ (Rhodes, 1996: 652) and ‘Governing with more than government’ (Kjaer, 2004: 44). The former view, similar to the concept of ‘the hollowing out of the state’⁵, suggests that governance has undermined the power of government by making government merely

⁴ According to the World Governance Survey of 2000 and 2001, which was undertaken in 23 developing countries, between 1995 and 2000, there was considerable improvement in three arenas – civil society, government and economic society – which depend on flexibility and the freedom of individuals, as compared to the arenas of political society, the bureaucracy and the judiciary (Hyden *et al.*, 2004: 194).

⁵ This expression suggests that the power of government has weakened due to privatisation, and limits set to the discretion of public servants (Rhodes, 1996: 661).

one actor among many stakeholders in the policy-making process (Richard and Smith; 2002; Rhodes, 1996). In particular, Rhodes (1997) focuses on self-organising networks, which are based on interdependence among stakeholders and a high degree of autonomy.

Table 3.1 Various Definitions of Governance

‘Governance’ refers to a change in the meaning of government, referring to a new process of governing.... Governance refers to self-organizing, inter-organisational networks characterized by interdependence, resource exchange, rules of the game and significant autonomy from the state (Rhodes, 1997: 15)

Governance denotes the steering capacities of a political system, the ways in which governing is carried out, without making any assumption as to which institutions or agents do the steering (Gamble, 2000: 110)

Governance refers to sustaining co-ordination and coherence among a wide variety of actors with different purposes and objectives such as political actors and institutions, corporate interests, civil society and transnational organisations (Pierre, 2000a: 4)

Governance is conceived as systems of rule, as the purposive activities of any collectivity that sustain mechanisms designed to insure its safety, prosperity, coherence, stability, and continuance (Rosenau, 2000: 171)

‘Governance’ is a descriptive label that is used to highlight the changing nature of the policy process in recent decades. In particular, it sensitizes us to the ever-increasing variety of terrains and actors involved in the making of public policy (Richard and Smith, 2002: 2)

Governance refers to the creation and maintenance of a system of rules that govern the public arena and thus regulate how state, civil society, and market-based actors relate to and interact with each other (Hyden *et al.*, 2004: 16)

The three governance modes of state, market and network have long been recognized as key forms of social organization...Each institutional arrangement and corresponding mode is considered optimal for different economic, social and political circumstances...Confronted by the complexity of the environment in which major policy initiatives are being implemented, the sharp definitions of these ‘ideal’ forms have become blurred (Keast *et al.*, 2006: 27, 28)

Against this first viewpoint, Kjaer (2004: 58) indicates that governance coordinates ‘the plurality and complexity of hierarchies, markets and networks’, because she believes

that hierarchy, market and networks coexist in governance. Pierre (2000a and 2000b) also regards governance as a new strategy for state restructuring based on public-private coordination. In this viewpoint, government still plays an important role in helping to establish and sustain various institutions, including markets, and adapting itself to the new circumstances (Pierre; 2000b; Gamble; 2000). With regard to these two different views, Hyden *et al.* (2004) argue that there has been a general shift from a top-down process by government to a bottom-up one by relevant stakeholders, because citizens have become more demanding.

There is much relevant research about the uses of governance. Rhodes (1997) illustrates six kinds: the minimal state, corporate governance⁶, the new public management⁷, good governance⁸, a socio-cybernetic system and self-organising networks. In particular, he emphasises the following three uses of governance (*ibid*): the minimal state, which is related to the reduction of the government due to privatisation; a socio-cybernetic system, which focuses on interdependence and interaction among all stakeholders including the public, private and voluntary sectors; and finally, self-organising networks, which are controlled by themselves autonomously, not by any single actor.

Hirst (2000: 14-19) classifies the uses of governance into the following five aspects: governance means the formation of an effective, stable political framework helpful to the private economy in the field of economic development; governance can tackle

⁶ It refers to the system of controlling public and private organisations equally through major principles such as openness, completeness and accountability.

⁷ This is used to introduce greater market competition into public service provision.

⁸ Good governance is in favour of market competition, privatisation of public sectors, civil service reform, budgetary discipline, decentralisation and greater use of NGOs (Rhodes, 1997).

global issues through international agreements and international agencies in the field of international institutions and regimes; corporate governance improves the accountability and transparency of companies; the growth of new public management strategies is based on the privatisation of public services and commercial practices within the public sector; and governance is accustomed to collaborative activities such as networks, partnerships and deliberative forums involving various stakeholders. This shows that governance usages have become more diverse, involving more stakeholders in the policy-making process (Richards and Smith, 2002).

3.2.3 Core Factors: Legitimacy, Efficiency, Democracy and Accountability

This section introduces the features and dilemmas of the four core concepts of legitimacy, democracy, efficiency and accountability, examining whether those concepts contribute to steering governance. First, the enhancement of legitimacy is the cornerstone of governance (Kjaer, 2004). Legitimacy here means ‘the fact that something is legal, fair and reasonable’ (Macmillan Education, 2002). In self-governing networks, there has been concern about a loss of legitimacy by government due to the many challenges it faces, such as globalisation (Sullivan and Skecher, 2002). Therefore, how government can regain legitimacy is a core issue in the 21st century, because a government cannot obtain public support and power to dominate a country without having legitimacy based on the allegiance of the people (Carnoy and Castells, 2001). In this context, government has endeavoured to regain legitimacy in decision-making processes and implementation by shifting responsibilities through decentralisation and citizen participation and by producing effective policies to achieve economic growth

(Durose and Rummery, 2006; Kjaer, 2004; Carnoy and Castells, 2001; Stoker, 1998). However, Jessop (1998) indicates that governance has a dilemma, in that it both pursues best practice and stresses interaction among actors. To cope with this dilemma, governance needs public involvement based on dialogue and interaction among all stakeholders, because public involvement encourages diversity and communication (Newman *et al.*, 2004; Brautigam, 1991).

Second, democracy is closely related to governance, even though governance may not produce democratic outcomes (Kjaer, 2004). The concept of democracy includes the features of democratic processes as well as the systems⁹ of government and the relations among institutions (Archer, 1994). Governance has made a significant contribution to promoting democracy by strengthening public involvement, because governance is embodied in consultative policy-making processes (Ginther, 1995; Robinson, 1994). This suggests that democracy is a prerequisite for establishing and implementing governance. Thus, governance is considered as a synonym for liberal democracy (Hyden *et al.*, 2004), even though governance is not equal to democracy (Kjaer, 2004). However, governance sometimes chooses closure for effective coordination, because some powerful actors intend to rule out those who do not have detailed knowledge and expertise (Jessop, 1998). Thus, in order to promote democracy, governance requires the inclusion of ‘political openness’¹⁰ and ‘transparency’¹¹ (Brautigam, 1991: 21-24).

⁹ The Macmillan Education (2002) defines democracy as ‘a system of government in which people vote in elections to choose the people who will govern them’.

¹⁰ ‘Political openness’ refers to open politics dependent on the expression of citizen preference through the channels of communication between citizens and public sectors.

¹¹ ‘Transparency’ refers to transparent procedures of public decision-making which give citizens information on how government works in the policy-making process.

Third, despite much time-consuming discussion in the decision-making processes, the democratic processes of governance are likely to produce more efficient outcomes, through the cooperation of stakeholders, than other governing structures such as hierarchies or markets (Kjaer, 2004). Efficiency can be defined as ‘the ability to work well and produce good results by using the available time, money and supplies in the most effective way’ (Macmillan Education, 2002). In writing about how efficiency may be achieved, several scholars focus on public involvement based on dialogue and mutual interaction (Innes and Booher, 2004; Healey, 1998; Hastings, 1996). This suggests that stakeholders in a governance system need to communicate with each other, transforming their various aims and cultures through dialogue and interaction. However, Jessop (1998) states that it may be difficult to maintain mutual trust and to reach agreement through negotiation in capitalist economies under an unstable mix of cooperation and competition. In order to overcome this limitation, Hastings (1996) suggests that effective outcomes in a governance system depend on mutual transformation¹², on the assumption that all stakeholders are willing to accept the necessity of change and to endeavour to learn as well as to teach each other. In particular, Healey (1998) states that collaborative governance is able to create transformative thinking and cultures through which communities can tackle their conflicts effectively in discussion.

Lastly, enhancing accountability is important in governance, because high reciprocity can build up trust among stakeholders. Accountability is the noun from ‘accountable’, which means ‘in a position where people have the right to criticize you or ask you why

¹² Hastings (1996: 262) introduces two kinds of ‘transformation’: ‘uni-directional transformation’ and ‘mutual transformation’.

something happened' (Macmillan Education, 2002). In public administration, accountability usually means that public officers and organisations are accountable to people with regard to their decisions about the efficient usage of public resources (Flynn, 2007; Robinson, 1994; Healey and Robinson, 1992). Brautigam (1991: 12-13) classifies accountability into three aspects: first, political accountability is related to an ability to check governmental decisions and to call government to account for the abuses or failures of public officers; second, public accountability is about methods and practices, such as those of the ombudsman, by which people can verify the quality of public service; third, legal accountability means that citizens can make public sectors legally responsible for their actions through the law. If a weak local administration fails to demonstrate adequate accountability, meaning that it does not put specific targets and monitoring in place, waste of resources and corruption can ensue. Thus, accountability plays an important role in enhancing the quality of governance as decentralisation becomes a more common trend. However, there has been a concern about accountability in governance, because it is feared that the growth of networks may blur the responsibility of individual institutions as the 'hollowing out' of the state takes place (Kjaer, 2004). This suggests that an interdependent governance system may fail to force individual actors to take responsibility for collective outcomes (Jessop, 1998). In this context, enhancing accountability requires the establishment of adequate institutional systems based on high quality information and transparency (Brautigam, 1991). Furthermore, the rule of law plays an important role in protecting the rights of citizens through enhanced government accountability, because the development of a rule of law ensures standards of accountability (ibid).

In conclusion, a governance system needs to enhance the qualities of legitimacy, democracy, efficiency and accountability. Those factors require public involvement, political openness, transparency, mutual transformation and institutional systems.

3.2.4 Negative Influences of Governance

Despite positive views about governance, there is also much criticism of the governance system in reality. The World Bank (1992) focused on the concept of good governance¹³ as a development strategy for developing countries. It demanded that developing countries should enhance the quality of public accountability, the rule of law, and the degree of information and transparency in order to strengthen good governance. This was because the World Bank, as one of the donors to developing countries, believed that some failures of recipients were attributable to a lack of accountability, ignorance of what constituted a legal framework and a failure to distribute information and to ensure transparency.

However, good governance, supported by donors such as the World Bank, has in many cases caused results to be distorted. For example, there was an argument that good governance weakened the capacity of Latin American states to govern and destroyed their bureaucracy (Alcantara, 1998). In addition, the suspension of external funding for civil society groups resulted in a dangerous situation which caused the collapse of old institutional structures without constructing democratic, efficient and stable alternative

¹³ The World Bank considers good governance as sound development management for sustainable growth and efficient investment, which is based on public accountability, transparency, adequate and reliable information, and efficient public services. In particular, it states that good governance is indispensable to sustainable programmes such as poverty alleviation and environmental protection (World Bank, 1992).

ones (ibid). In most African countries, such as Ghana, Sierra Leone, Gambia, Tanzania, Kenya, and Uganda, governance had a negative influence, because of a lack of democracy in what were monocracies (Porteous, 2005; Olowu, 2000). In Eastern Europe, institutional reforms implemented after 1989 caused a long and deep transformation crisis in many countries (Hoen, 2001). The Western countries demanded that Eastern European countries, where most industrial sectors were state-owned in the communist period, should pursue intense reforms, such as privatisation (Jeffries, 2001). However, the free and fair democratic new order brought about distorted results: for example, the Russian government transferred state-owned oil and gas to its supporters at a very low price, and the Russian mafia took over state properties as part of the process of privatisation without any legal safeguards and transparency (ibid). This showed the lack of a proper system for corporate governance.

On the question of how to overcome these negative aspects, there is much discussion. Some African countries have given priority to a system of government which will play its role in achieving economic growth within the functions of a liberal democratic state (Moore, 1999). In his research into Latin American states, Alcantara (1998) suggested the importance of mutual trust between citizens and public sectors. In addition, Olowu (2000) emphasised four key factors for consolidating democratic governance: intense linkage between economic growth and democratisation; high capacity of civil society institutions; public sector restructuring; and reaffirmation of the critical ethical norms of public services.

For Jessop (1998: 42), these dilemmas of governance can be coped with through ‘meta-governance’, which means ‘the organization of self-organization’. In meta-governance, markets, hierarchies and heterarchies coexist by maintaining the balance of market competition and cooperation and by contributing resources to the negotiation process (Jessop, 1998). In addition, meta-governance focuses on the creation of institutional design for collective learning and the establishment of shared visions among diverse stakeholders (ibid). Jessop (1998: 43) also states that government has played a significant role in facilitating the process of ‘networking, negotiation, noise reduction, and negative coordination of decision-making’ in meta-governance as a prime actor among all stakeholders, while reducing hierarchical features through decentralisation and public involvement and providing regulations which everyone can agree to. Against this background, meta-governance can be interpreted as a similar concept to collaborative governance which is discussed in the next section.

3.3 Collaborative Governance

3.3.1 The Concept of Collaborative Governance

Most contemporary issues are highly complex and diverse and cannot be resolved by a single actor alone (Huxham, 2000). Thus, most communities in the world seek to manage their concerns collectively in order to achieve the goals of sustainable development and solve their conflicts (Rydin, 2003). In particular, in the transition from the industrial to the information age, the process of making and implementing decisions

has changed from a top-down one to a bottom-up one (Carnoy and Castells, 2001; UNDP, 1993). This suggests that there has been a general shift from hierarchy to governance, due to challenges such as globalisation, decentralisation, technological development and the growth of a civil society (Durose and Rummery, 2006; Yoo and So, 2005; Newman *et al.*, 2004; Lee, 2003; Park, 2002; Richards and Smith, 2002).

However, the bottom-up process based on public involvement has been confronted by various dilemmas, such as the exclusion of other voices by some powerful actors (Innes and Booher, 2004). To overcome these participation dilemmas, collaborative governance, including collaborative relationships between stakeholders in the public, private and voluntary sectors and in communities, has emerged since the 1990s as a new paradigm of participation to tackle diverse issues in a complex society (Healey, 2006; Durose and Rummery, 2006; Stoker, 1998; Kooiman and Vliet, 1993; UNDP, 1993).

The Definition of Collaborative Governance

Collaborative governance is a representative concept for understanding modern governance principles among various governance fields, because the consensus-building capacity is able to tackle most contemporary issues in a society where citizens are seeking to control their lives through negotiation with other actors (Innes and Booher, 2004). According to English dictionaries, ‘collaborative’ means ‘involving people or groups working together to produce something’ and ‘governance’ is ‘the process of governing a country or organization’ (Oxford University Press, 2004; Macmillan Education, 2002). Ansell and Gash (2008: 544) define collaborative governance as ‘a governing arrangement where one or more public agencies directly engage non-state

stakeholders in a collective decision-making process that is formal, consensus-oriented and deliberative and that aims to make or implement public policy or manage public programmes or assets'. From the literature, collaborative governance can best be defined as a new form of governing process which involves all distinct stakeholders in a working relationship with each other through regular dialogue and interaction in pursuit of a common goal (Innes and Booher, 2004; Huxham, 2000). The main role of collaborative governance is to encourage all stakeholders to achieve their shared goals by mixing different resources and creating innovative thinking through negotiation and cooperation (Innes and Booher, 2004).

Collaboration

In order to understand the concept of collaborative governance, it is necessary to explore the term 'collaboration' in detail, because it is important to recognise the reason why collaboration is important in modern governance and how it can be achieved. Nowadays, collaboration has become a crucial instrument of public policy, because it is able to encourage distinct stakeholders to understand their differences and to achieve shared goals by combining their human and material resources (Lasker *et al.*, 2001). In particular, collaboration among stakeholders can provide adequate solutions to complex issues such as social inequality (Flynn, 2007). The concept of collaboration can be classified into three forms (Sullivan and Skelcher, 2002): formal and legal contracts between organisations; informal networks in individual relationships based on trust and reciprocity; and partnerships related to formal and long-term joint consensual decision-making and implementation. Collaborative relationships such as networks have developed since the 1990s. This is attributed to a new political environment of

fragmentation and decentralisation due to state restructuring in changing circumstances such as globalisation, internationalisation, and privatisation (Sullivan and Skelcher, 2002). This suggests that complexity, dynamics and diversity in our society have brought about a fundamental shift from hierarchies to networks (Newman *et al.*, 2004).

On the benefits of collaboration, Lasker *et al.* (2001) state that collaboration can create comprehensive, practical and transformative thinking. In particular, transformative thinking is very important, in that collaboration can make people change their ways of thinking when they interact with other stakeholders who have different goals and cultures. Through the creation of these new ways of thinking, collaboration can influence how problems are recognised and tackled. However, there are some catalysts and barriers to collaboration, particularly with regard to the ways in which actors and organisations collaborate on cross-cutting issues. Sullivan and Skelcher (2002: 100-110) introduce the key factors for building a capacity for collaboration: skilled communicators who play an important role in establishing, facilitating and coordinating collaboration; and strong links among stakeholders which are based on individual capacity and organisational capacity for collaboration, in that stakeholders need to learn from collaborative experiences and principled conducts. This suggests the importance of systems and processes for encouraging collaboration among stakeholders. On the other hand, Sullivan and Skelcher (2002: 110-112) also illustrate some obstacles to collaboration, such as different formal rules, informal norms, and the different resources of various stakeholders, which may undermine the capacity for collaboration by causing imbalances of power and conflicts. In particular, Flynn (2007) illustrates an obstacle to collaboration with the example of hierarchical features in the Scottish Executive which

tried to impede collaboration based on horizontal relationships between stakeholders by forcing other stakeholders to follow its will through directives and plans with regard to the delivery of services.

3.3.2 The Theory of Communicative Action

This section explores the theory of communicative action which is based on the rationality of communicative action in networks (Phelps and Tewdwr-Jones, 2000). The contemporary information age has recognised a change from a ‘modern society’ of common public interest to a ‘post-modern society’ of fragmentation and diversity which induces a collaborative approach based on social networks and inter-subjective communication in tackling complicated conflicts (Healey, 2006: 32-34). The theory of communicative action was established by Habermas. It suggests that people establish their own communicative ways of collaboration and reciprocity, working out strategies for collective action through interaction with other stakeholders, which not only renews cultural knowledge but also enhances social integration through mutual understanding (Healey, 2006; Habermas, 1987). Communicative action means interaction among the group through which individuals reach a mutual understanding by building up a relational web with each other (Phelps and Tewdwr-Jones, 2000).

Explaining the theory of communicative action, Habermas identifies three other theories of social action such as teleological, normatively regulated and dramaturgical action, all of which are encompassed in the term ‘communicative action’ (Phelps and Tewdwr-Jones, 2000: 116-118; Tewdwr-Jones and Allmendinger, 1998: 1976): ‘teleological

action’ means an activity performed to achieve a desired object, especially through collaboration; a ‘normatively regulated action’ is an action which is accomplished according to common values within a group; and a ‘dramaturgical action’ is a behaviour, such as performance, through which an actor will project a particular impression of what he or she is doing.

However, Tewdwr-Jones and Allmendinger (1998: 1977-1987) criticise this theory for overlooking the viewpoint that communicative action will not make individuals abandon all their benefits in order to build a consensus through collaboration: for example, it is debatable whether communicative rationality can be based on ‘undistorted communication, openness, and a lack of oppression’, given that contemporary participatory democracy reveals some limitations such as the pursuit of self-interest and the exclusion of diverse voices; with regard to practical problems, denying the role of the expert and expecting too optimistic an outcome to negotiation may not accomplish the desired goals; and it may be difficult to achieve interdependence among stakeholders in the decision-making processes and its implementation, because communicative rationality denies the importance of some stakeholders such as professional planners. The next chapter will show how the theory of communicative action explains interactive activity in a consensus-building process by taking as an example the activity of urban planning.

3.3.3 Collaborative Practices and Limitations

In recent decades, collaborative governance has been a major factor in finding collective

ways of thinking and acting for tackling conflict mediation and consensus-building. Therefore, this section illustrates some examples of collaborative governance practices. These practices suggest that collaborative governance is an innovative way to make policy-making better informed, fairer, more legitimate and more practical (Healey, 2006). However, they include some constraints in conducting collaborative approaches in the real world, and these will be discussed in the next section.

Collaborative Practices

The USA and European countries have a variety of successful collaborative approaches to address conflict and the formulation of complex policies (Healey, 2006; Innes and Booher, 2004; Khakee and Barbanente, 2003; Khakee, 2002). With regard to the USA, Burby (2003) indicated that collaborative processes in 60 local governments in Florida and Washington State contributed to strong, effective and comprehensive plans and to their implementation in the 1990s; Ryan (2001) investigated the collaborative policy-making processes of the US Environmental Protection Agency (EPA); Connick and Innes (2003) ascertained that collaborative processes produced outcomes in the form of social and political capital, as well as high-quality agreements, by using research studies from the 1990s, for example, studies of the San Francisco Estuary Project (SFEP¹⁴), the CALFED Bay-Delta Program¹⁵ and the Sacramento Area Water Forum¹⁶. The successful practices shown in these studies were attributed to a skilled facilitator,

¹⁴ This five-year collaborative process resulted in the unanimous adoption of the Comprehensive Conservation and Management Plan.

¹⁵ This programme dealt with managing water supply and protecting natural resources in California.

¹⁶ This forum, which included developers, business groups, environmental interests and citizens' groups, succeeded in reaching a meaningful consensus through a six-year collaborative process, harmonising the two different goals of protecting endangered species and providing an adequate water supply in the region.

communication through dialogue, broad stakeholder involvement and technical and financial assistance from government.

Just like the USA, many European countries have developed collaborative approaches to deal with social and environmental conflicts. In particular, the UK has developed collaborative governance through partnerships in urban regeneration since the 1990s (Healey, 2006; Sullivan and Skelcher, 2002). The representative form of partnership in the 1980s was the urban development corporation (UDC). However, this partnership was not adequate to deal with social issues such as inner city problems (Jones and Evans, 2008). In order to tackle social problems, the involvement of the charitable and voluntary sectors, and local residents increased in the 1990s and subsequently. In addition, local authorities, under the Major and Blair governments, began to affect regeneration projects with their expertise and practical local knowledge. In addition, the UK has fostered active stakeholder involvement in collaborative policy-making and implementation by passing the Planning and Compulsory Purchase Act of 2004 and operating various programmes of community engagement, such as Community Action 2000 (Healey, 2006; HMG, 2005). Current partnerships in the UK tend to have the characteristics of networks (Jones and Evans, 2008). For example, the Park Central partnership in Birmingham includes representatives of the residents, the local authority, and the private sector. In addition, many programmes such as City Challenge and the Single Regeneration Budget encouraged or even required community organisations to join in partnerships since the 1990s (ibid). Some scholars have also indicated that collaborative governance has been extended into European countries due to

globalisation and the EU's enlargement policy (Paraskevopoulos, 2006; Rato *et al.*, 2006).

In Asia, there are some examples of collaborative governance in South Korea, China and Japan, where the process emerged in the 2000s. To begin with, before 2000, South Korea mainly opted for administrative and judicial resolutions rather than consensus-building processes (Ju, 2007; Jeong, 2006; Kim, 2005). However, traditional public participation methods such as public hearings were not effective in the process of decision-making, due to the many challenges they met, such as decentralisation and the growth of civil society (Park, 2001). Thus, collaborative approaches based on argumentation and consultation emerged in South Korea in the 2000s, particularly in urban planning practices. For example, the Dae-po River project¹⁷ has many features of collaborative governance: self-organising networks, including government and local residents' organisations; general rules established by networks; various social learning processes; and interdependence among stakeholders (Yoo and Hong, 2005).

In Japan and China, collaborative governance also emerged in the 2000s. Min (2009) illustrated several collaborative features of regional and local areas in Japan in his analysis of local governance: partnerships among various stakeholders, including local government, the voluntary sector and communities; regulations and ordinances for establishing collaborative governance; and various social programmes to encourage public involvement. These features helped various stakeholders achieve the common goals of improving their community and developing their region. With regard to China,

¹⁷ See Section 5.4.1.

Jeong (2008) states that the Communist Party and governments in China have started to introduce decentralisation and residents' autonomy organisations, as well as reform and openness policies, in order to cope with social complexity. However, Jeong (2008) argues that this change has not led to the establishment of self-organising networks based on a new civil society, because the government still controls the urban development process, despite various reform measures.

Limitations on Collaborative Practices

This section introduces some failures of collaborative practices, briefly, as another way of pointing to the key features of collaborative governance. Through their review of 137 western collaborative governance policies, Ansell and Gash (2008) point out that power imbalance between stakeholders is a problem in a collaborative governance system, and that some stakeholders do not have sufficient time, skills and expertise to engage in collaborative processes. Harrison *et al.* (2004) illustrated failures in collaborative governance with regard to the collaborative approaches of the Greater London Authority (GLA): for example, the collaborative processes of the GLA failed to influence policies due to superficial consultation, unsatisfactory response to meaningful consultation and the exclusion of environmental NGOs, even though the GLA selected various collaborative methods such as stakeholder engagement, as required by the GLA Act of 1999.

As in the case of the UK, many other European countries had difficulty in establishing adequate collaborative governance systems: for example, Greece's decision-making processes had obstacles to citizens' participation, due to a lack of information and

facilitators (Demetropoulou *et al.*, 2006); many Eastern European countries suffered the harmful effects of a lack of a proper governance system (Hoen, 2001; Jeffries, 2001); and some countries, such as Hungary, still have centralised decision-making systems for regional development, despite collaborative efforts involving various stakeholders such as environmental interest groups, because of superficial consultation, NIMBYism¹⁸ and a lack of professionalism (Futo *et al.*, 2006).

With regard to South Korea, Kim (1997) warns that collaborative governance may even increase the level of conflict, due to a lack of effective citizen participation: for example, it may be difficult to find appropriate participants who can fully represent their community; collaborative processes may exclude relevant stakeholders such as residents; and government may act as a controller instead of a facilitator. Some scholars have also been concerned about the many limitations on collaborative governance in South Korea (Kim, 2008; Kwon *et al.*, 2006; Kim, 1997): for example, residents may feel frustrated when they realise how difficult it is to change the content of a government draft through traditional participatory methods such as public hearings, because of the lack of mutual dialogue and systematic institutional design; some powerful actors represent their own interests, ruling out others' voices, instead of the collective interest; and citizens may not create shared understanding and new ideas, due to a lack of social learning processes.

In particular, researchers have found examples of limitations on collaborative governance in African and Latin American countries. In the post-Cold-War era, western

¹⁸ The term 'NIMBY' means 'Not In My Back Yard', which is used to characterise the opposition of local residents to new development in their community (Devine-Wright, 2009)

countries developed a governance system in some African countries where there was an imbalance of power between government and civil society (Porteous, 2005; Olowu, 2000). Over the past two decades, collaborative governance has begun to emerge in a few African countries as rare cases (Olowu and James, 2004): for example, in Chad with a weak government, local associations of parents constructed one-third of the nation's school buildings in the 1990s, with the support of government, by organising themselves, raising funds, constructing their schools and forging links with other communities. However, most African countries, for example, Kenya, Ghana and Nigeria still have top-down governing processes rather than collaborative governance. In addition, it is said that in countries such as Malawi and Zambia, the introduction of a governance system worsened a quality of life that was already poor by causing unemployment and the reduction of real income (Porteous, 2005). In some Latin American countries, collaborative governance has begun to emerge as a form of open discussion supported by the government, although collaborative practices have not proved effective in a civil society with weak networks (Baiocchi, 2003). However, in most Latin American countries there has been a failure to construct more democratic, efficient and stable systems through institutional reforms based on governance (Alcantara, 1998).

Suggestions for Collaborative Governance

The limitations discussed above suggest that collaborative governance requires effective public involvement based on a bottom-up process and balanced power relationship among stakeholders, and in particular requires government to fulfil the role of a facilitator instead of a controller. Tewdwr-Jones and Allmendinger (1998: 1987) state

that bottom-up democratic processes will be effective on condition that the transformation of political culture and institutional designs is accompanied by collaborative approaches. Innes and Booher (2004: 428-429) consider dialogue, networks and institutional capacity to be the key factors in maximising the effects of collaborative governance: dialogue encourages participants to share information, to understand the perspectives of other partners and to create innovative outcomes; networks create mutual trust, encouraging participants to learn the power of the collaborative process; and institutional capacity¹⁹, which is considered to be the combination of social, intellectual and political capital, proliferates through networks and makes civil society more competent. In addition, Ansell and Gash (2008: 543) suggest that ‘face-to-face dialogue, trust building and the development of commitment and shared understanding’ are critical factors in collaborative processes.

Against this background, the next section explores the three key features of collaborative governance: public involvement, the role of government as a facilitator, and institutional capacity.

3.4 The Key Features of Collaborative Governance

This section examines the importance of the following three features: effective public involvement, which includes the engagement of all relevant stakeholders in a balanced power relationship; the role of government as a facilitator which supports a collaborative governance system through institutional designs; and institutional capacity

¹⁹ See Section 3.4.3.

which helps stakeholders tackle complex issues, extending collaborative governance into the future.

3.4.1 Public Involvement in Collaborative Governance

The Importance of Public Involvement

Nowadays, government seeks to involve citizens in tackling social and environmental issues, because participatory democracy is essential to obtain consensual outcomes in public policies (Sullivan and Skelcher, 2002; Carnoy and Castells, 2001). Several scholars (Newman *et al.*, 2004; Sullivan and Skelcher, 2002; Beresford, 2002) suggest that public involvement is essential to establishing the state-citizen relationship in contemporary governance: for example, citizens' experiential power through public involvement is a source of expertise, credibility and legitimacy, along with government support. Since the late 1980s, public involvement has become a major trend through various forms of household participation, economic participation, social and cultural participation and political participation (Newman *et al.*, 2004; UNDP, 1993). In addition, citizens' involvement has brought about many positive changes, such as the extension of democracy²⁰ and the growth of civil society. Innes and Booher (2004: 422-423) illustrate the purposes of participation as: choosing what the public prefers; contributing citizens' opinions based on local knowledge to the decision-making

²⁰ The UNDP (2002) states that the world is becoming more democratic. It illustrates this by the rise in democratic regimes from 57 countries in 1985 to 121 countries in 2000.

process; enhancing fairness and justice; securing legitimacy for public decisions; and meeting legal requirements.

The success of public involvement depends on whether it increases citizens' power to control their lives, in that citizens can contribute to establishing stronger strategies for their region (Healey, 2006; UNDP, 1993). However, public involvement is sometimes used to satisfy minimum legal requirements for public hearings, workshops and commissions, having, in practice, little influence on the policy-making process (Innes and Booher; 2004; Lowndes and Wilson, 2001; Tolentino, 1995; UNDP, 1993). Thus, it is necessary to look in detail at the core factors of public involvement; to be aware of the limitations of public involvement; and to consider a strategic approach for dealing with these limitations.

A Civil Society and Voluntary Sector

With regard to public involvement in collaborative governance, civil society is considered a main actor with an important role to play in supporting citizen's control over their lives (Sullivan and Skelcher, 2002; Cox, 1999). Civil society, which originated from the 18th century European Enlightenment, has accumulated its own power through public involvement by encouraging people to become involved in the decision-making process (UNDP, 1993). The concept of civil society, when it first developed in the 19th century, was represented by voluntary associations which consisted of people who came together to oppose monarchic power (Cox, 1999). Thus, civil society is often understood as the realm of voluntary associations, including neighbourhood committees (Foley and Edwards, 1996).

Even though civil society in the 20th century experienced some strong reverses, due to the world financial crisis in the 1970s, it has revived since the late 1980s, because of the collapse of communism and the advent of globalisation (Cox, 1999). In particular, a civil society with a more democratic polity has enhanced the stability and effectiveness of the state through a dense network of civil associations, while a civil society in a tyrannical regime has wielded a counterbalancing power to that of the state (Booth and Richard, 1998; Foley and Edwards, 1996).

In some countries, a gradual shift from authoritarian rule to democracy since the 1980s has been initiated by a voluntary sector based on people's organisations and Non-Governmental Organisations (NGOs), which have countervailing power to that of central government (UNDP, 1993). People's organisations, which consist of people who share common experiences and goals, for example, trades unions, emerged when the market could not provide them with what they wanted (UNDP, 1993). On the other hand, NGOs, which are established by private persons or organisations with no governmental involvement, focused on how much they could enhance people's power – particularly the power of the poor – in relation to environmental and social issues (Edwards and Fowler, 2003). In the democratic atmosphere of the post-Cold-War era, NGOs since the 1990s have become powerful forces in global politics and economics, contributing to tackling issues such as human rights, poverty, and the environment, and putting pressure on government for policy changes (UNDP, 1993). As a result, in some countries, the countervailing power of NGOs has begun to change a top-down approach by government into a bottom-up one, strengthening community participation (Richards and Smith, 2002; Robinson, 1994).

Sometimes NGOs have been forced to obtain a quick result in a short period, because they have considered tangible economic achievement to be indispensable if they are to enhance participation and empowerment (UNDP, 1993). Another problem has been that government has played a powerful role in controlling NGOs with regulations (Richards and Smith, 2002). The obstacles presented by these regulations have caused declining participation and a loss of trust in participatory democracy (ibid). Nevertheless, the growth of civil society depends on cooperation based on interdependence, for example, between NGOs and government (UNDP, 1993): central government and NGOs need to share information and to create ideas through collaboration, instead of attempting to control each other. Even though some NGOs are sometimes against government policies, others are cooperating with government in a variety of ways (ibid).

The Limitations and Strategic Approach of Public Involvement

Despite many positive views of wider participation, those seeking to ‘make a difference’ in the decision-making process through public involvement may be faced with a variety of obstacles (Tolentino, 1995). To begin with, selecting participants, which is mostly governed by laws, regulations and social norms, is an important issue in public involvement (UNDP, 1993). If an opportunity for participation is limited to small interest groups, for example excluding the disadvantaged²¹, public involvement will not produce effective outcomes (Tolentino, 1995; Olson, 1982). In particular, if a government which has a dominant role in deciding on participants selects inappropriate citizens as representatives to participate in a collaborative governance system, the

²¹ The Macmillan Education (2002) defines the disadvantaged as ‘people who do not have the same advantages as other people, for example, because they do not have much money: economically and socially’.

representativeness of participants and the legitimacy of collaborative outcomes may be questioned (Sullivan and Skelcher, 2002). This can happen where a government lacks an infrastructure that links it with communities. In addition, involving the disadvantaged, such as the poorest people and minorities, is important if potential conflict about legitimacy and the outcomes of collaborative governance is to be avoided (UNDP, 1993). Sullivan and Skelcher (2002) stress two factors for effective public involvement: the development of leadership which secures representativeness and maintains credibility with the community; and the promotion of participative skills which involve the disadvantaged in the decision-making process with the support of voluntary organisations. Brautigam (1991) suggests the importance of education for participants.

Another limitation that may be placed on public involvement is the development of an unbalanced power relationship between stakeholders, which may allow some powerful groups to keep out those who have difficulty in representing their opinions due to a lack of time and professional knowledge (Lowndes and Wilson, 2001; Brautigam, 1991). In particular, if one or more actors, such as government, persist in working in the ways they have done in the past, there will be imbalance of power between strong and weak actors. With regard to this, Sullivan and Skelcher (2002) suggest the following strategies to ensure balanced relationships in networks: expanding access to the network to all potential participants; ensuring that everyone has the right to tackle issues; codifying the consensus-building process; implementing the outcomes of networks through statutory bodies; and building capacities to form stronger networks. In addition, it is important to foster the role of NGOs through education and training, because NGOs

play a significant role in encouraging civil society to participate in the decision-making process and in the implementation of decisions (Ginder, 1995; Brautigam, 1991).

Lastly, the quality of public involvement depends upon the diverse factors of time, money, skills, institutional rules, culture and location (Sullivan and Skelcher, 2002). Public involvement requires enough time, adequate budget and adequate institutional systems (Tolentino, 1995). Brautigam (1991) also suggests the importance of adequate legal and institutional systems to support effective public involvement. The next section explores the role of government, particularly as a facilitator, supporting collaborative governance through various institutional systems.

3.4.2 The Role of Government in Collaborative Governance

The Role of Government as a Facilitator

With regard to the role of government in a governance era, there are two distinct views: one of ‘state restructuring’; and ‘the hollowing out of the state’ (Kjaer, 2004; Rhodes, 1996). Rhodes (1996) regards the essence of governance as governing without government, while Kjaer (2004) states that the concept of governing without government is false. Based on this argument, this section examines whether government continues to play an important role in a collaborative governance era.

Some scholars argue that ensuring legitimacy and accountability through networks is difficult, due to fragmentation and institutional complexity (Stoker, 1998; Rhodes,

1996). Their argument raises the question of how legitimacy and accountability can be obtained. With regard to ensuring legitimacy, Beetham (1991) suggests that conformity to rules and consent to particular relations of power are important. With regard to enhancing accountability, Stoker (1998) points out the importance of the role of government in steering networks.

In their contribution to this discussion, several authors (Durose and Rummery, 2006; Kjaer, 2004; Carnoy and Castells, 2001) suggest that government still plays a significant role as a facilitator, adapting itself to new circumstances in a collaborative governance era, because government has endeavoured to retain legitimacy by expanding decentralisation and public involvement and has enhanced accountability by establishing close relations with other stakeholders. Kooiman and Vliet (1993) describe the role of government in a governance era as follows: coordination for coping with complexity; steering for governing dynamics; and integration for dealing with diversity. Thus, it is concluded that the change of government's role can be described as 'the reconstitution of the state' rather than 'governing without government' (Carnoy and Castells, 2001: 15).

Limitations on the Role of Government

Many challenges, such as globalisation, have induced the reconstitution of the state and changed the way the state achieves its goals (Richards and Smith, 2002; Carnoy and Castells, 2001). However, the goals of the state, such as a welfare provision and economic growth, may remain untouched, in that state intervention through legislation and financial control is still considered the essence of government in the 21st century

(Richards and Smith, 2002). For example, rather than losing its power to deliver public services, government ensures their delivery by the private and voluntary sectors through the establishment of regulators and contracts (Jordan *et al.*, 2005; Richards and Smith, 2002). In particular, Pierre (2000a: 5; 2000b: 242), who still regards the state as the centre of political power and authority, describes the change in the role of the state as ‘a process of state transformation’ rather than ‘the decline of the state’, because the state acts through the legitimate means of political institutions and representative channels.

However, there is plenty of research that points to the limitations of the role of government. To begin with, if government seeks to gain legitimacy from civil society simply by satisfying minimum legal requirements through superficial consultation, it will not be able to incorporate citizens’ local knowledge into the decision-making processes and will fail to secure legitimacy, because collaborative governance needs dialogue and interaction, through which all participants are equally empowered, informed and respected (Innes and Booher, 2004). Thus, it is very important for government to adapt itself to new circumstances where it steers networks as one of several actors, rather than as the single leader of a hierarchy (Peters and Pierre, 2001; Clarence and Painter, 1998).

Another limitation on the role of government is that government may feel sceptical about the processes of collaborative governance, because of inefficient outcomes from time-consuming discussions and the pursuit by citizens and others of their own interests, which may force the government to exclude other voices (Innes and Booher, 2004). On the other hand, government may itself undermine the scope for collaboration by causing

imbalances of power through the use of its financial and institutional resources (Sullivan and Skelcher, 2002). Less democratic government may cause the emergence of this limitation, restraining the counterbalancing power of civil society (Foley and Edwards, 1996). To cope with this, government needs to strengthen its interaction with other stakeholders (Lowndes and Wilson, 2001; Nahapiet and Ghoshal, 1998).

The Role of Government in Enhancing Future Collaborative Governance

Newman *et al.* (2004) give the following reasons why the role of government is still important in steering collaborative governance networks: government takes the initiative in creating the opportunity for public involvement; it has great influence in choosing the participants and deciding their roles; and it has the power to translate the effort of participation into real practices. In addition, government can encourage citizens to participate in collaborative processes by producing culture changes such as new ways of working and thinking through institutional systems (Newman *et al.*, 2004). Jessop (1998: 43) mentions that the state intends to become 'primus inter pares', operating the process of governance and interacting with other stakeholders in networks instead of being the sovereign authority in a hierarchy.

Then, the question arises as to what is the role of government in enhancing the quality of future collaborative governance. In order to strengthen dialogue and interaction, government needs to overcome past hierarchical ways through the use of networks, realising that the power of the networks is derived from a capacity to combine various resources from public, private and voluntary sectors (Newman *et al.*, 2004; Peters and Pierre, 2001; Clarence and Painter, 1998). If government adopts a hierarchical position,

refusing to participate in networks or imposing its ideas on other actors in networks, it will not be able to obtain public support or, ultimately, maintain the power to rule the country: it will lose its legitimacy (Carnoy and Castells, 2001; Clarence and Painter, 1998). In addition, horizontal networks need to be created that are adapted to intergovernmental relations, because local issues require cooperation between central, regional and local governments as well as decentralisation (Peters and Pierre, 2001).

Furthermore, government needs to promote discussions among stakeholders and encourage all the interests represented in decision-making processes by establishing adequate institutional systems (Kooiman and Vliet, 1993; Brautigam, 1991). This is not without difficulties, because public involvement may have fundamental contradictions, such as public dissatisfaction with outcomes reached in this way, or limited achievements (Newman *et al.*, 2004; Beresford, 2002). It is important, therefore, to establish transparent decision-making procedures which include all stakeholders through dialogue and interaction. Such transparent collaborative procedures will make it more likely that participants will accept the legitimacy of collaborative outcomes, even though they may not be entirely satisfied with these (Innes and Booher, 2004).

Lastly, with regard to coping with complex issues in a diverse society, government needs to consider the following factors (Kooiman and Vliet, 1993): learning from past mistakes or from new insights; developing learning capacities; and strengthening communicative interaction which results in acceptable and legitimate governmental intervention. However, this cannot be done by the efforts of government alone, because collaborative governance is based on new ways of transformative thinking which

assume that all stakeholders recognise and accept the necessity of change (Healey, 1998; Hastings, 1996). In particular, it is very important to promote the institutional capacity of stakeholders in order to help all stakeholders develop learning capacities and tackle complex issues in discussion, as discussed in the next section (Lowndes and Wilson, 2001; Nahapiet and Ghoshal, 1998).

3.4.3 Building Institutional Capacity in Collaborative Governance

Institutional Capacity

The goal of collaborative governance is regarded as establishing and promoting institutional capacity²², because this capacity ensures the competence of civil society and effective outcomes (Healey, 2006; Healey, 1998). Some scholars (Innes and Booher, 2004; Khakee, 2002) regard institutional capacity as a combination of social, intellectual and political capital, interpreting the term ‘institutional capacity’ as ‘institutional capital’. In order to define the concept of institutional capacity, it is necessary to explore the concepts of social, intellectual and political capital.

Social capital can be described as the production of ‘social organisation such as social trust, networks, and norms that facilitate coordination and cooperation for mutual benefit’ (Putnam, 1995: 67). In particular, citizens’ participation through dialogue can create a capacity for trust, reciprocity and cooperation, that is, social capital (Richards and Smith, 2002). Nahapiet and Ghoshal (1998) suggest that social capital is supported

²² Healey (2006: 61) states that ‘the concept of institutional capacity refers to the overall quality of the collection of relational networks in a place’.

by: enough time to build trust; interdependence among stakeholders; continuous interaction through dialogue; and network closure through legal, financial and social boundaries. However, social capital is not always helpful to collaborative governance, because sometimes intense relationships in networks inhibit access to diverse information and knowledge (Nahapiet and Ghoshal, 1998).

Intellectual capital can be defined as ‘the knowledge and knowing capability’ which can be created through the combination and exchange of knowledge (Nahapiet and Ghoshal, 1998: 245). New knowledge can be obtained through, for example, the combination of existing pieces of knowledge or interaction between stakeholders with different kinds of knowledge. Social capital also contributes to creating new knowledge, because networks and trust encourage people to engage in cooperative interaction and to create ideas (ibid). In particular, it is argued (ibid) that organisations can obtain advantages through the co-evolution of intellectual capital and social capital.

Lastly, political capital refers to the commitment and willingness of all stakeholders to create agendas and take action (Khakee, 2002: 56). The attitudes and activities that form political capital can be described as state-impinging, in that they encourage people to engage with the democratic state through voting, campaigning, electioneering and contacting the public sector (Booth and Richard, 1998). In this way, political capital can enhance the level of democracy.

With regard to the three types of institutional capital, Khakee (2002: 57) suggests the elements and evaluation criteria shown below (Table 3.2).

Table 3.2 The Elements and Evaluation Criteria of Institutional Capital

Type of Institutional Capital	Elements	Evaluation Criteria
Social capital	Range of social relations, linkages between networks, power relations	Extent of stakeholder involvement, character of networks, nature and density of network linkages, access to networks, forces linking networks
Intellectual capital	Range and frame of knowledge, knowledge linkages, attitude towards new knowledge	Knowledge resources, use of knowledge, justification of ideas, degree of understanding, diffusion of knowledge and values, openness to new sources of information
Political capital	Structure of mobilization, methods for collective efforts, change agents	Selection and identification of issues, range of mobilization techniques, consensus-building practices, character and role of key agents

Source: Khakee (2002: 57)

Against this background, the thesis defines the concept of institutional capacity as the capacity to build trust and to create new knowledge in networks through social learning processes based on dialogue and continuous interaction. The promotion of institutional capacity is the most important thing in collaborative governance, because this capacity can help people build new collective ways of thinking and enable a civil society to be more competent. Institutional capacity can be distributed through networks, allowing any issues that arise subsequently to be tackled more effectively (Healey, 1998).

However, despite broad stakeholder involvement and access to high quality information, it may be difficult to promote institutional capacity, because building trust through dialogue and interaction requires adequate circumstances such as financial, legal, administrative and technical assistance to induce cooperation among all stakeholders (Innes and Booher, 2004; Khakee, 2002; Nahapiet and Ghoshal, 1998; Clarence and Painter, 1998). The next section of this chapter will examine the relationship between

public involvement, the role of government and institutional capacity. It will focus on social capital, because of its influence on the development of intellectual and political capital (Nahapiet and Ghoshal, 1998).

Public Involvement, the Role of Government and Social Capital

Richards and Smith (2002) state that social capital, built through public involvement, plays an important role in producing successful outcomes in collaborative governance. For example, through active participation in panels, focus groups and community forums, citizens are able to build trust and to tackle complex issues with their practical local knowledge (ibid). With regard to the two aspects²³ of social capital, Putnam (1994: 177) focuses on virtuous circles, which consist of high levels of cooperation, trust, reciprocity and public involvement. Putnam (1994) thinks that the elements of virtuous circles reinforce each other through horizontal networks instead of vertical ones, because dense horizontal networks²⁴ of public involvement are able to strengthen norms of reciprocity, to facilitate communication, to provide plenty of information about the credibility of individuals and groups and to publicise successful cases of collaboration. Horizontal networks are also able to facilitate coordination and communication between citizens for future collaboration (Putnam, 1995). In this context, Putnam (1995 and 1994) states that more public involvement induces more trust among citizens, because social trust emerges on the basis of norms of reciprocity and networks of public involvement.

²³ Social capital consists of virtuous circles and vicious circles. Compared to virtuous circles such as trust, vicious circles of social capital include distrust, defection, shirking and isolationism (Putnam, 1994).

²⁴ Horizontal networks link equal agents with equivalent power, while vertical networks connect unequal agents and are based on hierarchy and dependence (Putnam, 1994).

However, some scholars argue that public involvement is sometimes ineffective in a decision-making process, because certain powerful actors exclude other voices (Innes and Booher; 2004; Lowndes and Wilson, 2001; Tolentino, 1995; UNDP, 1993). In overcoming this weakness of public involvement, the role of the voluntary sector and the role of government are important. To begin with, the voluntary sector can play an important role in encouraging community participation and supporting the bottom-up process (Richards and Smith, 2002; Robinson, 1994). In addition, government contributes to enhancing social capital by highlighting the information flows and various financial, administrative and legal supports given to the voluntary sector and communities (Maloney *et al.*, 2000). In particular, Lowndes and Wilson (2001) state that government takes the initiative in shaping the creation and mobilisation of social capital in the following ways: it may influence whether existing voluntary groups flourish or decline; it may influence the establishment and enhancement of collaborative governance through institutional systems; its responsiveness has an influence on the enhancement of social capital, in that one of the obstacles to participation is the failure to translate collaborative efforts into public policies; and it facilitates public involvement by distributing participation opportunities to all stakeholders, including excluded groups such as the disadvantaged.

From this discussion, it is shown that promoting the institutional capacity of stakeholders is a prerequisite for establishing and maintaining a collaborative governance system, and that the quality of public involvement and the role of government can be influenced by the institutional capacity of stakeholders.

3.5 Conclusion

The concept of governance is used to explain the changing nature of policy-making processes in the contemporary era due to challenges such as globalisation and the growth of civil society. As the uses of governance have become more diverse, despite some limitations, more stakeholders have begun to be involved in the policy-making process. In particular, this chapter has focused on collaborative governance taking place in various governance fields, because collaborative governance is able to integrate the diverse perspectives of sustainable development.

However, some failures of collaborative practices suggest that collaborative governance is not a panacea, unless its various elements are adequate. Thus, the chapter has explored the following key features of collaborative governance through the relevant literature: effective public involvement, the role of government as a facilitator, and the institutional capacity of stakeholders. In particular, some literature has suggested the importance of the institutional capacity of stakeholders, in that institutional capacity not only influences the quality of public involvement and the role of government, but also contributes to producing continuous better outcomes in collaborative governance. The next chapter will examine in detail the characteristics of collaborative governance in urban planning. First, it will review the nature of planning systems as an effective means of implementing the main principles of sustainable development, particularly focusing on collaborative planning. It will then identify, through a review of the literature, the main elements of collaborative governance for implementing the principles of sustainable development in urban planning.

CHAPTER 4

COLLABORATIVE GOVERNANCE IN URBAN PLANNING

4.1 Introduction

The aim of this thesis is to examine how collaborative governance contributes to implementing the principles of sustainable development. Chapter 3 suggested that to implement the diverse principles of sustainable development requires collaborative governance, in which all stakeholders are encouraged to participate in discussion and to set up a shared vision of sustainable development through dialogue and interaction (Harrison *et al.*, 2004). However, some failures of collaborative practices suggest that collaborative governance will not provide a panacea for people's problems, if it does not have adequate procedures and systems. It has been argued that a planning system is an adequate means for implementing the principles of sustainable development, in that it has sufficient capacity to integrate the diverse concerns of sustainable development and to involve diverse actors (Jepson, 2001; Selman, 1996).

Thus, this chapter seeks to identify the main elements of collaborative governance in urban planning for sustainable development, focusing on whether the characteristics of planning correspond to the features of collaborative governance. The chapter begins

with an outline of the nature of planning. It particularly focuses on collaborative planning, which includes elements of collaborative governance, because collaborative planning based on communicative action can play an important role in enabling communities to manage their concern for implementing the principles of sustainable development (Selman, 1996). The main elements of collaborative governance in urban planning will be discussed through a review of the relevant literature.

4.2 The Concept of Planning

4.2.1 The Nature of Planning

The Oxford University Press (2004) says that a ‘plan’ is ‘an organized proposal according to which something is to be done’ and that ‘planning’ is ‘the action or process of forming a plan’. Nevertheless, it is difficult to define the concept of planning clearly, because it has a broad range of meanings, which include, for example, future thinking and integrated decision-making (Mintzberg, 1981). However, the most common meaning of planning can be defined as ‘the making of an orderly sequence of actions that will lead to the achievement of a stated goal or principles’ (Hall, 2002: 3). Planning systems and practices play an important role in supporting communities in the management of their collective concerns about subjects such as the quality of life, the economy, the environment and social equity in shared spaces (Healey, 2006). Thus, the research focuses on planning systems as a tool for implementing the principles of sustainable development, because planning systems can implement these diverse

principles by providing for activities such as creating better places to live and preserving important natural areas. In particular, the research will focus on urban planning which deals with the urban areas where many people live.

With regard to the general features of planning, Rydin (2003) states that planning is a kind of future-oriented activity which involves a decision-making process and a role for the public sector, even though the public sector cannot implement its principles on its own without the support of other sectors. Cullingworth and Nadin (2006) point out that planning is a process which consists of the determination of objectives, policy-making, consultation, formal dispute resolution, implementation and evaluation. Against this background, at the core of planning, is the concept of rationality, which requires us to determine objectives and problems, to formulate solutions, and to evaluate them (ibid).

However, contemporary planning practices have been faced with concerns such as social, economic and environmental issues, rather than physical development, because of various conflicts among stakeholders involved in the decision-making process (Cullingworth and Nadin, 2006). Given this complex situation, understanding the nature of planning nowadays means being aware of both the dynamics of urban change and collaborative practices (Healey, 2006). This has led to the widely held belief that the nature of planning has changed from a traditional approach, which achieved its goal with grand plans, to a new paradigm which finds ways of mediating conflicting interests and allowing stakeholders to interpret its principles with flexibility (Cullingworth and Nadin, 2006). The next section reviews various aspects of planning theory in order to provide a foundation for this new paradigm of planning.

4.2.2 The Evolution of Planning Theory

The origins of planning are to be found in the 18th century period of the Enlightenment, which preceded the Industrial Revolution, and which emphasised the value of scientific knowledge, empirical inquiry and activity directed towards development and improvement (Healey, 2006). Since then, the complexity and upheavals of the political and economic processes have created a favourable environment for planning, because it has been widely held that the volatility of markets in the capitalist system may cause permanent damage to future life (ibid). The beginnings of planning were rooted in scientific knowledge and instrumental rationality, because scientific knowledge provides a foundation for approaches to current problems and future possibilities, and instrumental rationality offers a logical explanation of the relationship between means and ends (ibid).

Rational planning has evolved in various ways. For Healey (2006), contemporary spatial planning based on scientific rationalism is classified into three categories: economic planning, physical development planning and policy analysis planning. Economic planning began with Karl Marx's critique of industrial capitalism. At the end of the 19th century, new ideas such as Ebenezer Howard's theory of the 'garden city' challenged both capitalist societies and early communist societies (Cullingworth and Nadin, 2006). However, by the middle of the 20th century, the western economies had experienced several economic depressions, which led between the 1950s and the 1970s to a strengthening in Western Europe of social welfare policies on education, housing and health. In the 1980s, neo-liberal strategies favoured a market-led approach through

the privatisation and deregulation that were among the results of the expansion of the global economy and new technology. This change of direction, however, caused the rediscovery of poverty and increasing concern for the environment.

The second of Healey's three categories, physical development planning, was shaped by engineers and architects and influenced the structure of land, property rights and the interests of land owners (Healey, 2006). It was originally treated as 'planning practice' and until the 1970s was seen as being related merely to 'planning tools', with which it shared the aim of building rational utopian cities which would promote economic and social life. However, in the 1980s, it changed its objective from the pursuit of utopian cities to the practical management of the dynamics of social, economic and environmental change in urban areas, because planners became concerned about environmental and social issues in urban life.

Healey's third category, policy analysis planning, came to prominence in the 1960s. Its main focus has been the determination and implementation of planning objectives, and in this way it came to contribute to the very basis of the rational planning process (Healey, 2006).

However, traditional planning theories have had some limitations as regards the implementation of the principles of sustainable development (Wheeler, 2004), for example, in the way they concentrate on the determination of questions by experts, disregard social and environmental change issues, and fail to include long-term perspectives for sustainable development. Thus, in contrast to the above scientific

rationalism, a new way of thinking which is aware of the importance of 'individual subjective preference' based on cultural specificity and diversity has begun to emerge since the 1970s in a general shift from a 'modern' society of common public interest to a 'postmodern' society of fragmented diversity (Healey, 2006: 33-43). This new way of thinking has caused many environmental issues to be subjected to time-consuming discussions and litigation through neo-liberal approaches which could not reduce the amount of conflict (ibid). In this context, a new paradigm of planning, communicative planning, which emphasises social diversity and collaborative discussion, has been introduced in order to deal with various environmental and social issues among stakeholders. This suggests a shift from the rational planning that was a product of scientific rationalism to the collaborative planning of interpretive approaches. The new paradigm of planning emphasises that individuals are linked by social networks in which inter-subjective communication can reconstitute the public realm. In particular, several scholars (Healey, 2006; Arnstein, 1969; Davidoff, 1965) focus on the importance of public involvement in this new planning, because they believe that planning is a tool through which citizens can facilitate more democratic pluralist policies.

In order to identify the nature of this new planning, it is necessary to understand the characteristics of interpretive approaches based on the theory of structuration proposed by Anthony Giddens and the theory of communicative action proposed by Jurgen Habermas, which are introduced in the next section.

4.2.3 Interpretive Approaches: Theories of Giddens and Habermas

Interpretive approaches, which are a core factor in collaborative planning, encourage citizens with diverse interests to build shared cultures through interactions such as consensus-building practices (Healey, 2006). Interpretive approaches, which can be described as institutionalist approaches, are based on the theory of structuration and the theory of communicative action (ibid). Giddens' theory of structuration demonstrates the mutual relationships between agencies and structures, concluding that agencies' choices can transform the structuring forces of their lives through the interaction between active agencies and constraining structures (Healey, 2006; Giddens and Pierson, 1998). Giddens argues that people are linked to particular histories and geographies through interaction with other people and the natural world, and that our efforts to achieve personal identities and social relations are structured by what has gone before (Healey, 2006).

The most important principle of the theory of structuration is that of recursive relations between structures and agency, which means that structures are shaped by agency, just as structures in turn shape agency. Social life can be described not as the product of the individual, but as a series of ongoing activities and practices that people carry on in a relational web (Giddens and Pierson, 1998). This theory considers citizens as active agents in a diverse society who create specific cultures in the webs of relations by deciding whether or not to follow the present structures of these webs (Healey, 2006; Cohen, 1989). Healey (2006) also states that the relational bond creates institutional capacity such as social capital.

The theory of structuration raises the question of how it is possible to ensure that relations between agencies and structures proceed smoothly. The answer is provided by Habermas' theory of communicative action which explains how interactions between agencies and structures proceed, focusing on the importance of collaboration and reciprocity through dialogue (Healey, 2006). The theory of communicative action suggests that the communicative relations built through interaction between participants structure the 'lifeworld'²⁵. Through this relational web based on communicative action²⁶, participants can renew cultural knowledge and enhance social integration (Habermas, 1987). In particular, Healey (2006) states that communicative action needs a high degree of trust and information in order to achieve mutual understanding through dialogue between participants. Thus, it is concluded that the theory of communicative action provides a framework which includes collaborative processes based on trust and reciprocity between all distinct stakeholders. Against this theoretical background, the next section introduces a new paradigm of planning based on communicative action.

4.2.4 The New Paradigm of Planning

The new paradigm of planning is based on interpretive approaches which recognise the diverse ways of living that exist in pluralist societies, while traditional planning focuses on scientific rationalism in a culturally homogeneous community with a public interest (Healey, 2006). The theory of structuration and the theory of communicative action

²⁵ Habermas constructs a two-level concept of society that integrates the 'lifeworld' and the 'system': the lifeworld is produced through communicative action based on interaction, while the system of daily life identifies the structures of economic order and political order (Healey, 2006; Habermas, 1984).

²⁶ Communicative action includes other social actions such as teleological, normatively regulated and dramaturgical action (Phelps and Tewdwr-Jones, 2000; Tewdwr-Jones and Allmendinger, 1998). See Section 3.3.2.

show that the mobilisation of networks generates the driving forces of social transformation through interaction. Thus, it is concluded that a new paradigm of planning based on interpretive approaches can be interpreted as an interactive process which has the potential to establish relations and discussion that will create new cultural formations through collaboration rather than through the technical processes of design, analysis and management.

However, sometimes discussions may cause cultural domination rather than inter-cultural communication. To avoid this limitation, participants need to learn how to understand what the problems are, how to respect each other and how to build consensus. This may encourage people to build up new discussions with the capacity to reshape abstract systems in democratic debates (Healey, 2006). In particular, relational webs based on social interaction can modify powerful forces, such as intense constraints, in a multi-cultural world, and change abstract systems and structuring forces.

Nowadays, this new paradigm of planning is defined as collaborative planning by several scholars (Umemoto, 2009; Lofgren and Agger, 2008; Maginn, 2007; Healey, 2003; Margerum, 2002; Innes and Booher, 1999a). It is argued that through collaborative planning based on interpretive approaches, people can build up relational networks and resolve complex conflicts. In particular, the collaborative planning system plays a significant role in dealing with the complexity and diversity of urban governance fields (Healey, 2003). The next section introduces the features of collaborative planning and explores the relationship between collaborative planning and sustainable development.

4.3 Collaborative Planning

4.3.1 The Process of Collaborative Planning

Collaborative planning is a new paradigm of planning for a complex contemporary society which usually mediates conflicts between parties through consensus-building processes. It encourages people to engage in dialogue in a situation of equal empowerment and shared information, to learn new ideas through mutual understanding, to create innovative outcomes and to build institutional capacity (Healey, 2006; Innes and Booher, 2004). In particular, Maginn (2007) indicates that collaborative planning can provide policymakers with more effective community participation.

With regard to collaborative planning, Healey (2006: 284-288) mentions that the processes of collaborative planning can be described as a combination of ‘soft’ and ‘hard infrastructure’, which is called ‘institutional design’: ‘soft infrastructure’ includes informal collaborative strategy-making processes, such as social learning, through which stakeholders communicate with each other and build social, intellectual and political capitals; and ‘hard infrastructure’ refers to the design of political, administrative and legal processes, through which people change the power relations in networks. This section introduces these two aspects of collaborative planning in detail.

Discussing collaborative strategy-making as soft infrastructure, Healey (2006: 231-239) suggests that an ideal strategy-making method is ‘inclusionary argumentation’, which can be interpreted as a social learning process. Consensus-building through social

learning processes is expected to build up trust, establish new relations of power among participants and generate social, intellectual and political capital. However, the quality of inclusionary argumentation depends upon several factors (Healey, 2006): the availability of initiators who open up places for argumentation and select participants; openness which gives all stakeholders a voice in discussion; facilitators who encourage high quality discussion, preventing some voices from being ignored; mutual interaction to reframe diverse issues; the formalisation of any agreement reached; the monitoring of implementation of any agreement; and the maintenance of consensus. Ansell and Gash (2008: 543) state that inclusionary argumentation requires ‘face-to-face dialogue, trust building and the development of commitment and shared understanding’ between stakeholders.

However, the informal processes of inclusionary argumentation need the hard infrastructure, that is, the formal processes which give legitimacy and effectiveness to the procedures and outcomes of discussion (Healey, 2006). Healey (2006) focuses on the importance of the political, administrative and legal systems, particularly suggesting five features of systemic institutional design: recognising the range and variety of stakeholders; maintaining balanced power relationships among stakeholders through the equitable distribution of power; encouraging diversity in discussion; including all stakeholders; and making all information available to relevant communities. Based on these features, Healey (2006: 293-306) proposes some parameters which political communities need to consider in systemic institutional design: the ‘right’ to voice their views, to challenge decisions, to get good information, and to call powerful agencies to account for their failure; the ‘duties’ to attend to the concerns of their communities, to

carry out programmes, to report back to their communities and to foster the building of democratic governance capacity; the ‘resources’ to ensure a minimum quality of life, participation in governance and good quality information; the specification of ‘criteria’ which encourage inclusionary argumentation; and the distribution of ‘competencies’ for more horizontal coordination.

4.3.2 Evaluation and Critiques of Collaborative Planning

Evaluation of Collaborative Planning

For collaborative planning processes to acquire the legitimacy and effectiveness associated with consensus-building, they require evaluation (Innes and Booher, 1999a). In discussing criteria for evaluating consensus-building processes, Innes and Booher (1999a) describe two kinds: ‘process criteria’, which include the representativeness that participation by stakeholders confers, the shared vision that comes from citizens’ practical local knowledge, self-organising ownership of the process, in-depth dialogue and interaction, high-quality information, and sufficient discussion; and ‘outcome criteria’ which include a high quality agreement, creative ideas, social, intellectual and political capital, changes in behaviour and new flexible and networked institutions and practices.

However, it is debatable who should evaluate collaborative processes and how the long-term effects of collaborative outcomes should be assessed (Innes and Booher, 1999a). If facilitators evaluate the processes, the evaluation may not have legitimacy, due to the

perceived or actual questionability of the facilitator's fairness. Thus, more innovative evaluation methods need to be created which will maintain the consensus reached in the collaborative processes. To get a high degree of legitimacy, democracy, efficiency and accountability, the evaluation processes need to involve various stakeholders, such as citizens. In addition, if the collaborative outcomes do not make sense in the future, stakeholders need to change them through continuous monitoring, critique and strategic policy discourse (Healey, 2006).

Critiques of Collaborative Planning

Despite its contribution to consensus-building processes, collaborative planning has limitations. Various scholars (Kim, 2008; Futo *et al.*, 2006; Demetropoulou *et al.*, 2006; Kwon *et al.*, 2006; Harrison *et al.*, 2004; Baiocchi, 2003; Kim, 1997) have given reasons why collaborative planning could fail: superficial consultations based on a lack of interdependence; the exclusion of some stakeholders; an absence of facilitators; and a lack of social learning processes. Despite communicative rationality based on dialogue and interaction in discussion, it is not easy to overcome these limitations. For example, interdependence may be difficult to acquire, because people may not be willing to choose negative coordination in the face of good opportunities (Tewdwr-Jones and Allmendinger, 1998; Jessop, 1998). High interdependence can be achieved only when all participants recognise that they cannot achieve their goals without the cooperation of other stakeholders (Ansell and Gash, 2008). In addition, some stronger stakeholders are liable to exclude weak stakeholders, such as the disadvantaged, who do not have sufficient capacity, organisation and resources to participate in collaborative processes (ibid). As a result, collaborative planning may not make individuals abandon all their

advantages for the sake of building a consensus on complex issues (Tewdwr-Jones and Allmendinger, 1998).

However, despite these critiques, there is much relevant literature that gives positive perspectives on consensus-building processes. Tewdwr-Jones and Allmendinger (1998) state that bottom-up democratic processes will produce effective outcomes through the transformative processes of political culture and institutional designs. Innes and Booher (1999b) suggest that one of the new strategies to ensure sustainable metropolitan economies and environments is consensus-building processes based on long-term discussion. In particular, Healey (2003) maintains that collective practices have made a difference to the result of present and future planning processes in a complex and diverse society. Against this background, the next section explores collaborative planning for sustainable development.

4.3.3 Collaborative Planning for Sustainable Development

Sustainability Planning

It is believed that planning is an effective means to implement the principles of sustainable development, because a planning system can integrate the diverse concerns of sustainable development and involve diverse stakeholders (Jepson, 2001; Selman, 1996). And there is plenty of literature that promotes this belief in sustainability planning (Wheeler, 2004; Berke, 2002; Jepson, 2001; Selman, 1996; McDonald, 1996; Shaw and Kidd, 1996). Sustainability planning can be described as a kind of planning

system which incorporates sustainable development into a planning process, integrating environmental, social, and economic perspectives (McDonald, 1996). It deals with various issues in a complex society (Wheeler, 2004: 66-84): growth management and land use planning, urban design, housing, transportation, environmental protection and restoration, energy and materials use, green architecture and building, equity and environmental justice, economic development and population.

In discussing the criteria for sustainability planning, McDonald (1996: 229-230) illustrates the main factors which integrate environmental, social and economic perspectives: 'renewable and non-renewable resources, waste assimilation, maintenance of global biodiversity, basic human needs, equity, effective citizen participation in decision-making and social learning process'. Selman (1996: 125) also indicates that the criteria for sustainability planning are: 'absolute protection of critical natural capital; maintenance of a constant stock of substitutable natural capital; futurity of decision; inter-society and inter-generation equity; virtuous development circle; encouragement of citizen views and actions; adoption of consensus-building processes'. Wheeler (2004: 34-36) suggests five features of sustainability planning: long-term perspectives for present and future generations; holistic outlooks for integrating diverse principles of sustainable development and harmonising different scales of planning such as global, national, regional and local areas; an acceptance of this planet's limits in seeking stabilisation of the world's population and protection of the natural environment; a focus on local places and communities for the restoration of ecosystems, the correction of inequities and the rehabilitation of a local economy; and active public involvement in implementing the principles of sustainable development.

Collaborative Approaches for Sustainability Planning

When it comes to implementing the principles of sustainable development, some scholars suggest that sustainability planning requires collaborative approaches such as consensus-building. Wheeler (2004) says sustainability planning needs more tools than typical planning processes have provided, for example: sustainability indicators, institutions and planners as facilitators, education, and consensus-building. Innes and Booher (1999b: 151-153) suggest three strategies to implement the principles of sustainable development in the contemporary era: indicators which enhance the high reflexivity of participants through feedback and conversation; consensus-building processes which include 'facilitated, face-to-face, long-term discussion' through dialogue between stakeholders; and a new type of leadership which builds trust through communication and social learning. These approaches are based on collaborative processes and systems which include the features of collaborative governance. The next section examines the main elements of collaborative governance that are needed to implement the principles of sustainable development in urban planning.

4.4 The Main Elements of Collaborative Governance in Planning

Collaborative planning, which induces people to engage in discussion and to tackle controversial issues, developing mutual trust and building institutional capacity, is an effective means of conflict mediation and consensus-building in a complex society (Healey, 2006; Margerum, 2002; Innes and Booher, 1999a). However, collaborative planning will be a placebo rather than a panacea unless there are fair, open, inclusive,

accountable and legitimate consensus-building processes based on collaborative governance (Innes and Booher, 1999a). Therefore, in discussing collaborative planning, it is necessary to identify the critical variables of collaborative governance for successful outcomes.

For example, Healey (1998: 1536-1541) lists five factors to build collaborative relationships among distinct stakeholders: integrative place-making, which incorporates economic, environmental and social agendas; collaborative policy-making, which includes transforming ways of thinking and creating reframed issues; inclusive stakeholder involvement, which produces mutual learning and consensus-building through discussion; local and practical knowledge, which has been built up through the everyday life of a location; and institutional capacity, such as social capital, which is built through positive relationships between stakeholders. Ansell and Gash (2008: 550-557) also suggest critical factors which will influence the quality of collaborative outcomes: prior history of conflict; the incentives for participants; power and resource imbalances; facilitative leadership; and institutional design.

Against this background, this section examines the main elements of collaborative governance in planning to build successful collaborative relationships among stakeholders seeking sustainable development. The literature (Healey, 2006; Innes and Booher, 2004; Newman *et al.*, 2004; Harrison *et al.*, 2004; Burby, 2003; Khakee, 2002; Sullivan and Skelcher, 2002; Lowndes and Wilson, 2001; Innes and Booher, 1999a; Healey, 1998) shows the main elements of collaborative governance in urban planning to be: inclusive stakeholder involvement; promotion of institutional capacity;

collaborative leadership of stakeholders; a role for government as a facilitator; a role for education and training; and institutional design.

4.4.1 Inclusive Stakeholder Involvement

The policy-making processes in planning systems are no longer a top-down exercise by government alone, but a bottom-up one involving various stakeholders (Hyden *et al.*, 2004). Collaborative governance is a popular trend in urban planning, in that it involves a wide range of stakeholders, including hard-to-reach groups, and enhances the legitimacy and stability of policies (Brautigam, 1991). Thus, it is widely believed that inclusive stakeholder involvement is needed, if strong, effective and comprehensive planning is to be achieved, because inclusive stakeholder involvement helps planners develop stronger regional strategies and interact with more stakeholders about issues (Burby, 2003). Healey (1998) suggests that inclusive stakeholder involvement can help people generate mutual learning and produce new ideas, instead of inducing adversarial conflict between fixed interests. In particular, some scholars (Healey, 2006; Innes and Booher, 2004; Healey, 1998) believe that it is important to involve people who live where a project is to be undertaken, because regional and local people have practical knowledge of their areas and have the ability to develop ownership through social learning processes. The regional and local power of human beings also ensures that collaborative processes continue through continual critiques and feedback (Innes and Booher, 1999a; Healey, 1998).

However, inclusive stakeholder involvement under poor conditions may be counter-productive and may even create controversy. For example, superficial consultation may create exaggerated costs, delay and frustration (Burby, 2003). Even if all stakeholders engage in discussion, if some powerful actors persist in working alone, as they have been used to doing, they will frustrate collaboration by causing an imbalance in the power relationship between strong and weak actors (Sullivan and Skelcher, 2002). In particular, if some stakeholders do not have adequate organisation and resources to participate in the decision-making processes, and if collaborative processes are not able to empower those stakeholders, the collaborative processes will be liable to be controlled by the stronger actors (Ansell and Gash, 2008). UNDP (1993) also indicates that legal and bureaucratic constraints and an imbalance in power relations may cause severe problems, such as the exclusion of some groups.

There is plenty of literature that discusses how to cope with these obstacles (Ansell and Gash, 2008; Healey, 2006; Newman *et al.*, 2004; Burby, 2003; Sullivan and Skelcher, 2002; Lowndes and Wilson, 2001). Ansell and Gash (2008) suggest that collaborative approaches need a commitment to strategies which empower and represent hard-to-reach groups, such as the disadvantaged. Involving hard-to-reach groups requires the support of skilled professionals and voluntary organisations with credibility. Harrison *et al.* (2004) emphasise the ownership of the processes by citizens. For example, if a public forum which has authority and legitimacy is owned and run by citizens, it can change previous power relations. However, the degree of citizens' ownership depends on the extent of the support of community organisations and community leaders. The role of NGOs is also important in inducing wide-ranging participation, for example by

giving citizens the education and training they need to get the most out of community organisations (Healey, 2006). In addition, the flow of information, knowledge and shared understanding between stakeholders is also significant in ensuring inclusive stakeholder involvement, because it can promote dialogue and interaction and encourage more stakeholders to participate in discussions (Healey, 2006; Burby, 2003). This suggests that if networks strengthen publicity and information-sharing through various channels and social learning processes, more stakeholders will participate. Sullivan and Skelcher (2002) stress the importance of giving people the opportunity to access high quality information, to become involved in the decision-making processes, to codify equal empowerment and consensus-building processes in advance, to implement the results of collaboration, and to develop learning ability.

In addition, establishing balanced relationships between stakeholders requires the recognition of interdependence. If stakeholders see the need for cooperation with others, balanced relationships can be established. For example, when a government needs public involvement to legitimise its policies and creative ideas, it will play a significant role in encouraging inclusive stakeholder involvement and providing financial, administrative and legal support. Citizens, despite their busy lives, will participate in discussions with their government when they recognise the necessity of government support. However, building collaborative relationship between stakeholders requires a high level of mutual trust as well as interdependence between stakeholders. Therefore, it is necessary to focus on the promotion of institutional capacity based on trust, which is discussed in the next section.

4.4.2 The Promotion of Institutional Capacity

Collaborative planning has contributed not only to producing tangible formal agreements, such as development plans, but also to creating intangible products, such as institutional capacity, through social learning processes (Innes and Booher, 1999a). Institutional capacity – the combination of social, intellectual and political capital – can be defined as the capacity to build trust and create new knowledge in networks through social learning based on dialogue and continuous interaction. High quality collaborative outcomes are attributed to the existence of a high level of institutional capacity based on mutual trust and practical knowledge (Innes and Booher, 1999a; Healey, 1998). High institutional capacity helps stakeholders build a new cultural community and develop collective ways of thinking (Healey, 2006; Healey, 1998). Thus, the ultimate goal of collaborative processes is regarded as the establishment and promotion of the institutional capacity of stakeholders, because this capacity contributes to establishing and maintaining collaborative governance. Institutional capacity, which can be proliferated through networks, enables future issues to be tackled more effectively (Healey, 1998). This also suggests that institutional capacity contributes to establishing a long-term vision for the future. With regard to institutional capacity's effect on a society, Healey (2006) suggests that institutional capacity makes society become 'more knowledgeable, better coordinated, more creative, more inclusive and more legitimate' (Healey, 2006: 330).

Promoting institutional capacity needs high quality mutual trust among stakeholders based on dialogue and interaction (Nahapiet and Ghoshal, 1998). Several authors

(Ansell and Gash, 2008; Innes and Booher, 2004; Khakee, 2002; Nahapiet and Ghoshal, 1998; Clarence and Painter, 1998; Healey, 1998) suggest that trust-building requires sufficient time, information and community participation, and adequate financial, legal, administrative and technical assistance. A particular history of interaction between stakeholders can also be a powerful factor in building trust (Ansell and Gash, 2008; Healey, 2006).

In addition, Ansell and Gash (2008) focus on the importance of public participation, suggesting that small wins through participation enhance levels of trust and shared understanding. With regard to the relationship between trust and participation, Putnam (1995; 1994) stresses that more public involvement induces more trust among citizens, because trust emerges on the basis of norms, reciprocity and networks of public involvement. It is important to encourage whole communities to engage in some activities through networks, directly and indirectly. When stakeholders share their understanding through social learning processes, build trust with each other, and report back to their communities, institutional capacity may be promoted. However, it is also important to recognise the limitations of public involvement, for example when participants pursue their own interests, because this obstacle may harm the legitimacy and effectiveness of collaborative outcomes (Innes and Booher, 2004).

Along with public involvement, the role of government is also significant in promoting the institutional capacity of stakeholders. Newman *et al.* (2004) state that government normally takes the initiative in opening public debate, selecting participants and issues, translating the efforts of participation into practice and enhancing the quality of

participation. Government may influence the levels of institutional capacity of stakeholders (Lowndes and Wilson, 2001). For example, it is important for government not to follow a tight schedule in dealing with public policies, because trust-building needs sufficient time and institutional flexibility to develop. However, if governments act alone, as they used to in the past, collaborative networks cannot work properly and the governments may not secure legitimacy (Innes and Booher, 2004). Thus, Kooiman and Vliet (1993) state that government needs to encourage stakeholders to build institutional capacity by providing financial, administrative and legal support and reflecting all the interests involved. All of which suggests that promoting the institutional capacity of stakeholders in collaborative governance requires active public involvement and the role of government as a facilitator.

4.4.3 Collaborative Leadership of Stakeholders

The major role of leadership in collaboration is to establish, protect and encourage collaboration by providing a long-term vision and facilitating the consensus-building processes in the face of various obstacles such as distrust (Ryan, 2001; Innes and Booher, 1999b). Collaborative leadership plays a significant role in setting rules for collaboration, building trust and facilitating dialogue (Ansell and Gash, 2008). Innes and Booher (1999b) introduce a new style of leadership for the contemporary era, a style of leadership that can suggest a long-term vision, encourage public involvement, build trust among stakeholders and develop participatory skills for social learning processes. In self-governing networks, government is no longer the single leader, because civil society has begun to accumulate its own power since the 1980s, reflecting

a practical knowledge built up in the course of everyday life in its locality (Sullivan and Skelcher, 2002; UNDP, 1993). Thus, dealing with complex issues calls for collaborative leadership to strengthen the cooperation between stakeholders.

However, collaborative leadership may be faced with obstacles such as resistance to efforts at collaboration. Sometimes, collaborative processes can be useless without the institutional flexibility to bring about change, even though stakeholders' leaders may establish a collaborative system. For example, if the head of an organisation ignores the outcomes of collaborative work, the leader of that collaborative work, who represents the organisation and participates in the collaboration, may fail to make a decision about specific issues, because he or she does not wish to cause internal conflict and distrust in the organisation. In addition, despite the change in the role of government, government may be a stronger actor than the other stakeholders involved. If government persist in acting as the single leader, collaboration may be frustrated. For instance, Harrison *et al.* (2004) suggest that some powerful actors such as the Mayor may frustrate collaboration if they consider the collaborative processes as merely procedural, even though the processes involve the engagement of various stakeholders. Thus, the most important thing in establishing collaborative leadership is to recognise the necessity for interdependence between stakeholders. If the stakeholders can realise that their principles will be implemented only through cooperation, this will help them recognise their problems, establish effective working arrangements and reach agreement through shared understanding.

In their discussion of how to promote collaborative leadership, Sullivan and Skelcher (2002) state that a collaborative governance system needs to acquire legitimacy, to enhance accountability, to ensure that it is representative of participants, and to maintain credibility with the community. In particular, it is important to find and educate community leaders who can represent their communities, because civil society can be a source of expertise, credibility and legitimacy, and because community leaders induce people to build new collective ways of thinking and supply new human resources for collaborative governance (Sullivan and Skelcher, 2002; Brautigam, 1991). Acquiring a high quality of legitimacy and accountability requires transparency based on adequate institutional systems (Brautigam, 1991). To be fully representative of all sectors of civil society, weaker stakeholders such as the disadvantaged also need to be involved (Ansell and Gash, 2008).

4.4.4 The Role of Government as a Facilitator

The role of government in a planning system seems to have changed from that of a single leader to that of a facilitator for a number of actors. This change has been brought about by circumstances such as globalisation, the reduction of hierarchy, and placing emphasis on the ‘enabling’ approach (Healey, 2006; Burby, 2003). Despite the change, however, several authors (Healey, 2006; Newman *et al.*, 2004; Burby, 2003; Lowndes and Wilson, 2001; Carnoy and Castells, 2001; Stoker, 1998) argue that government still takes the initiative in opening public debates, choosing participants, translating the efforts of participation into practice and enhancing the quality of participation through legal, financial and administrative means. In particular, government plays an important

role in maintaining a collaborative governance system, because producing tangible and intangible outcomes with the support of government encourages people to engage in further collaboration at a later date (Innes and Booher, 1999a; Healey, 1998). Thus, it is concluded that government still has a major influence on the process of planning and implementation.

When it comes to enhancing the accountability and legitimacy of collaborative processes, government has endeavoured to steer networks through public involvement, decentralisation and devolution of power and resources (Carnoy and Castells, 2001; Stoker, 1998). Moreover, Lowndes and Wilson (2001: 634-636) state that government takes the initiative in creating and mobilising social capital through 'relationships with the voluntary sector, opportunities for public participation, the responsiveness of decision-making and arrangements for democratic leadership and social inclusion'. All of which suggests that the role of government, along with public involvement, is one of the most important factors in collaborative planning.

The reason why government supports collaborative planning is that collaborative work provides legitimacy derived from the inclusion of citizens and high quality of outcomes (Carnoy and Castells, 2001; Clarence and Painter, 1998). However, sometimes government does not act as a facilitator in collaborative processes. In some circumstances, government still has difficulty in recognising interdependence between stakeholders and inducing inclusive stakeholder involvement (Kim, 2008; Futo *et al.*, 2006; Demetropoulou *et al.*, 2006). Burby (2003) suggests that a government acting as a facilitator needs to consider an original plan as a flexible one which can be changed

through dialogue and interaction. In particular, government needs to pay attention to the voices of the powerless in order to prevent potential conflict (Burby, 2003). In addition, a holistic outlook for sustainable development needs the horizontal cooperation of central, regional and local governments (Wheeler, 2004; OECD, 2002). However, the role of government as a facilitator is based on transformative thinking, which depends on a high level of interdependence and mutual trust among stakeholders. Thus, all participants need to have regular talks with other stakeholders, to share understanding and to build up trust through social learning processes, recognising that their common principles can be achieved only through cooperation with other stakeholders (Ansell and Gash, 2008). This suggests the importance for stakeholders of high institutional capacity and the need for education and training.

4.4.5 The Role of Education and Training

Education and training play an important role in encouraging public involvement through social learning processes, establishing a future vision and training new leaders. Without adequate education and training, stakeholders may act independently as they have been used to doing in the past. This will distort the outcomes of collaborative processes. Thus, several authors stress the importance of education and training in collaborative approaches (Healey, 2006; Wheeler, 2004; Burby, 2003; Innes and Booher, 1999b).

However, ‘education’ does not just mean traditional educational programmes, which introduce the best practices of collaborative processes, because those programmes

cannot encourage diversity and communication among participants (Newman *et al.*, 2004; Brautigam, 1991). The concept of education in this section is based on the assumption that all participants are able to learn and teach each other through participatory education and training programmes (Hastings, 1996). Some authors (Burby, 2003; Innes and Booher, 1999b) suggest that one role for government is to contribute to developing regular education and training systems which encourage stakeholders to build and promote institutional capacity.

Social learning processes are one of the main parts of education and training. To promote dialogue and interaction, participatory programmes such as advisory committees and community forums are needed (Burby, 2003; Innes and Booher, 1999b). Social learning processes help stakeholders build up trust and enhance institutional capacity (Healey, 2006). In addition, social learning processes are able to encourage people to recognise regional issues and to establish visions for the future. In particular, establishing a long-term vision based on shared regional and local knowledge is a cornerstone of consensus-building processes for sustainable development. However, the quality of social learning processes may depend on inclusive stakeholder involvement, openness to new members, facilitators, and the formalisation of any agreement reached (Healey, 2006). Involving hard-to-reach groups in social learning processes is also important for obtaining effective outcomes from public involvement. To maximise the benefits of this involvement may need the support of skilled professionals and voluntary organisations in developing the public's participatory skills (Sullivan and Skelcher, 2002; UNDP, 1993).

Another role of education and training is to encourage leaders to build new collective ways of thinking and to create ideas. However, it is difficult to find adequate leaders if some stakeholders have low institutional capacity. Thus, the assistance of the voluntary sector is needed to help stakeholders participate in collaborative activities, share understanding and develop their institutional capacity (Healey, 2006; Richards and Smith, 2002). Developing planning education programmes for government officials may be important also, because they facilitate the regular education system and provide guidelines to move culture and power relations towards regular dialogue and interaction. With regard to planning education, Schweitzer *et al.* (2008) state that dialogue which is not based on the notions of power and authority is able to help all stakeholders speak openly and create better outcomes. This suggests that education and training must aim to establish effective communication between stakeholders.

4.4.6 Institutional Design

As mentioned in a previous section on the infrastructure of collaborative planning, Healey (2006) defines the processes of collaborative planning as the combination of soft and hard infrastructure, as reflected in soft and hard institutional designs. If collaborative processes are fair, open, inclusive, accountable and legitimate, even stakeholders who feel their interests are not fully reflected may support the legitimacy of collaborative outcomes (Innes and Booher, 1999a). Thus, soft institutional design, which means inclusionary argumentation such as social learning processes for strategy-making, plays an important role in encouraging participants to reframe issues and to

create new ideas for their regions and circumstances (Healey, 2006; Harrison *et al.*, 2004; Innes and Booher, 1999a).

However, soft institutional design needs its hard infrastructure, for example in the design of administrative and legal systems, in order to give legitimacy and effectiveness to collaborative procedures and outcomes (Healey, 2006). In particular, hard institutional design needs to consider the questions of how to include all stakeholders, how to represent the concerns of communities, how to maintain balanced power relationships, how to challenge decisions, how to carry out collaborative programmes, how to enhance the quality of social learning processes, how to implement agreement and how to maintain consensus (*ibid*). With hard institutional design, the most important thing is to acquire legitimacy through adequate principles and planning systems, because legitimacy in collaborative procedures may limit the reappearance of conflict. However, despite well-established hard institutional design, if there is a failure to acquire adequate soft infrastructure, legitimacy cannot be guaranteed. Thus, the harmony of soft and hard institutional designs is necessary for collaborative processes and implementation.

4.5 Conclusion

Drawing from the literature on the theory of collaborative governance in urban planning, this chapter has outlined the six main elements of collaborative governance necessary for implementing the principles of sustainable development in urban planning: inclusive stakeholder involvement with balanced power relationships; the promotion of

institutional capacity based on dialogue and interaction; collaborative leadership of stakeholders; the role of government as a facilitator; the role of education and training for effective public involvement; and institutional design based on social learning processes and adequate administrative and legal systems.

The literature raises the question of whether collaborative planning, if it contains these elements, will produce successful outcomes. The answer may depend on specific situations in different collaborative practices which may influence the quality of those elements. For example, this chapter suggests that the quality of the elements depends on the extent of the recognition of interdependence, the degree of dialogue and mutual trust, and the cultural, historical and political features of a society. In addition, this chapter suggests that high quality collaborative outcomes may be attributed to a high level in one of those six elements: in particular, the institutional capacity of stakeholders. It also indicates that public involvement and the role of government are important in promoting the institutional capacity of stakeholders. Starting from this foundation, the next chapter describes the features of collaborative governance in urban planning in South Korea through a review of the literature.

CHAPTER 5

COLLABORATIVE GOVERNANCE IN URBAN PLANNING IN SOUTH KOREA

5.1 Introduction

As a background to the case studies which follow, this chapter presents an outline of collaborative governance in urban planning in South Korea. It begins with a brief outline of the country. Then, it explores the evolution of the planning system and deals with the specific characteristics of collaborative planning as practised in South Korea. Finally, the chapter looks at how collaborative governance has developed in the fields of conflict mediation and collaborative policy-making in urban planning in South Korea.

5.2 An Introduction to South Korea

5.2.1 The Features of South Korea

The Korean peninsula is a strategic point bordering China, Russia and Japan. It consists of two different regimes (Republic of Korea, 2008a): the Republic of Korea (South

Korea) which covers 99,601 sq km (44.7% of the whole territory); and the Democratic People's Republic of Korea (North Korea) which covers 123,390 sq km (55.3%). Since 1953, at the end of the Korean War, South Korea and North Korea have been divided.

Nearly 65.3% of South Korea consists of mountains and forests. This means that the amount of land available for development is small. For example, land use in 2003 was as follows (ibid): forest land (65.2%), farmland (21.5%), urban use (5.9%) and other uses (7.4%). In 2003, the country's population was 49.84 million, with a high population density of 500 persons / sq km (MOPAS, 2010). In particular, the urbanisation rate of South Korea has risen dramatically from 40 percent in 1960 to 90 percent in 2007, and the population in urban areas has increased from 27.7 percent in 1960 to 81.5 percent in 2005 (E-Korea Index, 2009; Republic of Korea, 2008b).

South Korea is a democratic state with a constitution which includes three branches of government: the National Assembly; the Executive, including the President and the Cabinet; and the Courts (Republic of Korea, 2008b). All power derives from the constitution and legislation conceived and implemented by the above three branches working together. In 1991, the local autonomy system for selecting local councillors by election was established. Following this, from 1995 on, mayors, governors and representatives of local government have been elected by the direct vote of residents. These developments in the 1990s have encouraged more people to become interested in the decision-making processes (Park, 2001).

Figure 5.1 The Location of South Korea



Source: <http://www.korea.net> (2008)

5.2.2 The New Challenges of South Korea

South Korea has achieved rapid economic growth through industrialisation since the 1960s, and this has enhanced the benefits of its physical infrastructure (Republic of Korea, 2008a). In particular, in urban areas, industrialisation was accelerated to supply sufficient infrastructure to support rapid population growth (Republic of Korea, 2008b). This caused environmental degradation and social problems (Republic of Korea, 2008a; KRIHS, 2008b; Lee *et al.*, 2007; Lee, 2005), yet environmental and social disputes were not widespread until the 1980s, because of restrictions under the military regime and low public awareness of these issues (Lee, 2005).

Since the late 1980s, when democracy was secured through a citizens' struggle in South Korea, there have been environmental and social conflicts between stakeholders (Lee, 2005). These conflicts, which were brought about by ill-balanced development, have

become more complicated since the 1990s due to various new challenges such as globalisation, decentralisation and the growth of civil society (Republic of Korea, 2006). The arrangements for local autonomy ushered in a civil society that was to become more involved in conflicts related to urban planning projects (Moon and Kim, 2006). In particular, NGOs have demanded innovative reforms to the government's national projects (Jeong, 2007a; Lee, 2005).

To cope with these challenges, South Korea has, since the 1990s, begun to take steps towards the achievement of sustainable development, pursuing a combination of environmental protection, economic efficiency and equity through various sustainable development strategies (Republic of Korea, 2006 and 2005): for example, the National Action Plan for Agenda 21 in 1996; the New Millennium National Environmental Vision in 2000; the National Vision for Sustainable Development in 2005; the National Strategy for Sustainable Development in 2006; and the Framework Act on Sustainable Development in 2007. In addition, the Korean Presidential Commission on Sustainable Development (PCSD) was established under the direction of the President in 2000, and this has dealt with various policies relating to sustainability.

Along with steps taken in pursuit of sustainable development, the characteristics of governance have emerged in decision-making processes since the 1990s due to a gradual shift from a uniform, closed society to a more diverse and open one (Jeong, 2007a; Lee, 2005; Yoo and So, 2005; Lee, 2003; Choi, 2003; Park, 2002; Lee, 2001). In particular, collaborative governance has developed in the 2000s as a new framework to implement the principles of sustainable development in urban planning in South Korea.

However, many conflicts are still resolved through administrative process and judicial settlement rather than a consensus-building process based on collaborative governance (Jeong, 2006; Lee, 2005; Yoo and Hong, 2005; Kim, 2004; Lee, 2001). In addition, some scholars (Lee, 2005; Kim, 1997) argue that collaborative governance in urban planning in South Korea still has limitations, even though South Korea has developed various collaborative approaches such as public hearings, joint councils and the public display of planning proposals (Kwon *et al.*, 2006; Kim, 2005). In this context, the next section explores the characteristics of the Korean planning system, focusing on collaborative approaches in urban planning.

5.3 The Korean Planning System

Over the past ten years, collaborative governance has contributed not only to the resolution of environmental conflicts, but also to collaborative policy-making in South Korea. However, in the past, the Korean planning system did not fully encourage collaborative features, even though government endeavoured to develop consensus-building processes in legal planning procedures (Kwon *et al.*, 2006; Lee, 2005). This section gives a brief outline of the planning system and its collaborative features.

5.3.1 The History of the Modern Korean Planning System

The Korean planning system originated with the Cho-sun Urban Planning Decree of 1934, which was devised to govern the building of new towns (Kim, 2005). This Decree

was effective until 1962, when the modern Korean planning system began with the Urban Planning Act of that year (ibid). The Urban Planning Act (UPA), which prescribed the procedures to be followed in drawing up plans, the scope of planning, the procedures for zoning, the requirements for development permits, the constitution of planning boards, and the rules governing construction and the management of urban planning facilities, was devised to deal with complex urban problems. In the 1960s and 1970s, there were further relevant acts dealing with the planning effects of rapid economic growth, for example, the Act on Industrial Complex Development Promotion in 1973 and the Act on Housing Site Development Promotion in 1980. During this period, central government pursued both industrialisation and urban expansion as part of a policy of economic development.

However, rapid economic growth caused ill-balanced development (Republic of Korea, 2006b). To bring about more stability and balance, the UPA was revised in 1981, reflecting the following major changes (Kwon *et al.*, 2006; Kim, 2005): the establishment of the Basic Urban Plan (BUP), a comprehensive plan for any city built over the next 20 years; and public participation in the planning process, for example through public hearings. In the 1990s, many acts, such as the Act on Industry Location and Development of 1990, played an important role in elaborating zoning control procedures and enhancing the flexibility of planning control, despite conflict between stakeholders with different interests (Kim, 2005).

The Urban Planning Act (UPA) was amended in 2000 to increase local authorities' planning powers by delegating to these bodies central government's power to give final

assent to an urban plan (Kim, 2005). The UPA was divided into the Urban Development Act (UDA) of 2000 and the Act on Special Measures for the Designation and Management of the Restricted Development Area passed in 2001. In addition, the Act on the Planning and Utilisation of the National Territory (APUNT) was enacted in 2002, uniting the UPA, which dealt with urban areas, and the Act on the Utilisation and Management of the National Territory, which dealt with non-urban areas (ibid). The Framework Act on the National Territory (FANT) was also passed in 2002, to provide guidance for planning affecting national land. These acts were specified by presidential decrees and ministerial ordinances. In particular, the APUNT, the FANT and the UDA have, in the 2000s, developed regulations stipulating collaboration, for example through consultation with committees or the implementation of a residents' proposal system (Shin and Shin, 2008; Lee and Ahn, 2007; Moon and Kim, 2006; Kim *et al.*, 2006).

5.3.2 The Structure of the Korean Planning System

The planning authority in South Korea consists of three levels. The Ministry of Land, Transport and Maritime Affairs (MLTM²⁷) is in charge of urban planning at the national level, dealing with various fields such as infrastructure, transport, housing and land policies. Then come the Seoul Capital Government, six Metropolitan Governments and nine *dos* (Provincial Governments) at the regional level. Finally, the local level is made

²⁷ The MLTM was established in 2008 by combining the former Ministry of Construction and Transportation (MOCT) and the former Ministry of Maritime Affairs and Fisheries (MOMAF). The MOCT was established in 1994 by uniting the former Ministry of Construction (MOC) with the former Ministry of Transportation (MOT). The MOC was in charge of urban planning until 1994.

up of 25 *gu*²⁸s in the Seoul Capital Government, 49 *gus* and *guns* in the six Metropolitan Governments, and 158 *shis* and *guns* in the nine *dos* (MOPAS, 2010).

Table 5.1 The Structure of the Planning Authority in South Korea

National Level	<ul style="list-style-type: none"> • MLTM
Regional Level	<ul style="list-style-type: none"> • Seoul Capital Government • 6 Metropolitan Governments • 9 <i>dos</i>
Local Level	<ul style="list-style-type: none"> • 25 <i>gus</i> (Seoul Capital Government) • 49 <i>gus</i> and <i>guns</i> (Metropolitan Government) • 158 <i>shis</i> and <i>guns</i> (<i>dos</i>)

The Korean planning system is based on the Constitution, acts passed by the central government, presidential decrees, ministerial ordinances, guidance and statutory plans (Republic of Korea, 2008b). The central government is in charge of enacting acts and providing national guidance and authoritative interpretation. Presidential decrees and ministerial ordinances deal with specific affairs delegated in accordance with the acts, while the ordinances of local government are also enacted within the framework of these regulations (Kim, 2005). The central government also has issued national guidance on planning, which is similar to the Planning Policy Statements (PPSs²⁹) of the UK (MOCT, 2006b). This guidance is binding on local governments, and regulates mainly technical issues such as how to make plans.

²⁸ The term *gu* means an administrative district which is similar to a borough in the UK, which consists of several *dongs*. A *dong* is an administrative district which corresponds to a parish council.

²⁹ The national guidances such as Planning Policy Guidances (PPGs) emerged in 1988 and have been replaced by the Planning Policy Statements (PPSs). For example, PPS 12, Local Development Frameworks, sets out a proactive approach for sustainable development (Cullingworth and Nadin, 2006).

Both regional and local governments can make statutory plans. The statutory plans of the Korean planning system consist of the Basic Urban Plan³⁰ (BUP), the Wider Urban Plan (WUP) and the Urban Plan (UP) (MOCT, 2006b; Kim, 2005). The BUP is a comprehensive plan for the next 20 years of a city, and deals with the characteristics of the region, land utilisation, infrastructure, urban environment, economy, industry, culture, employment and safety. It is established by the Metropolitan Government, the *shi* and the *gun*, through a review with a public hearing, the local council's deliberations and consultation³¹ with central governments including the MLTM. The WUP³², which is the upper tier plan of the BUP, gives long-term development direction to groups of two or more neighbouring cities. For example, the MLTM established the 2020 WUP for the capital region in 2009, and this focused on encouraging development of the capital region by releasing land in the Restricted Development Zone in order to supply the need for housing (MLTM, 2009b). Lastly, the UP, a 10-year plan made by the local government, gives shape to long-term developments, conforming to the BUP and the WUP. This plan deals with urban planning zones, construction, the management of urban planning facilities, and a variety of urban development projects (MOCT, 2006b).

5.3.3 Collaborative Approaches in Urban Planning in South Korea

South Korea has developed collaborative planning formally and informally since the 1980s. Some collaborative forms, for example public hearings and the public display of

³⁰ An interesting point is that a Metropolitan City, a *shi* or a *gun* are able to draw up a Basic Urban Plan regardless of the size of the city, while *gu* cannot establish its own urban plan.

³¹ The need for the assent of the MLTM ceased with the revision of the APUNT: in 2005 for the BUP of a *shi* or a *gun* and in 2009 for that of a Metropolitan Government.

³² This was established by the MLTM, the mayor or the governor of an area. However, the revision of the APUNT in 2009 transferred the right of establishment to the *shi* and the *gun*, except in some cases.

planning proposals, were introduced into the planning process through the Urban Planning Act of 1981 (Kwon *et al.*, 2006; Kim, 2005). This has since been amended, in the 2000s to include consultation with various committees, review by an urban planning board, and a residents' proposal system. Such developments are the reason why several authors (Shin and Shin, 2008; Lee and Ahn, 2007; Moon and Kim, 2006; Kim *et al.*, 2006) believe that collaborative regulations have emerged in South Korea through institutionalisation. For example, the 2008 amendment to the Urban Development Act (UDA) of 2000 provides for public consultation such as public hearings, review by an urban planning board, notification of planning proposals, the establishment of associations and the public display of enforcement plans and other documents. The 2008 amendment to the Act on the Planning and Utilisation of the National Territory (APUNT) of 2002 also includes public consultation about the WUP, the BUP and the UP, consultation with the council and any neighbouring cities affected, review by an urban planning board, public notification and display of planning proposals, a residents' proposal system for the UP, the consultation of experts, and hearings for cancelling permissions. The 2008 amendment to the Framework Act on National Territory (FANT) of 2002 also contained similar clauses related to collaborative approaches.

Even with this legislation in place, some scholars (Lee, 2005; Kim, 1997) argue that the planning system needs to include more collaborative engagement, because there are still limitations to the proper use of these regulations. For example, public hearings may sometimes be ineffective, because it may be difficult to involve some stakeholders, such as the disadvantaged, or to change the original draft of a plan set out by government at the last stage of the decision-making process. Membership of committees may be

confined to governmental officials, experts and some NGO representatives. This may make it difficult to reflect the varied opinions of a broad range of interests in the decision-making process (Lee, 2005). Even the residents' proposal system may be ineffective if it is abused by special interest groups (ibid).

Despite these criticisms, some collaborative practices in South Korea provide positive perspectives on collaborative planning, because the Korean urban planning system has developed collaborative approaches through various institutional designs. For example, with regard to Si-hwa, one of the case study areas (see Chapter 7), a joint council was instituted by presidential decree and a directive from the MLTM, even though it was not created by the planning system (Park and Hong, 2007). Another example is the liveable community-improvement project which is related to the other case study (see Chapter 8). When the MLTM began to conduct pilot projects in 2007, they had no legal foundation, and the projects had to be supported by a special budget until 2008. However, the MLTM clarified the legal position of the projects by amending the APUNT in 2008 (MLTM, 2008b).

5.4 Collaborative Governance in Urban Planning in South Korea

Beginning in the 2000s, the concept of collaborative governance in South Korea has been extended into the urban planning processes of national projects to implement the principles of sustainable development (Republic of Korea, 2006; Lee, 2005; Park, 2001). In particular, collaborative practices in South Korea have developed in the fields of conflict mediation and collaborative policy-making in urban planning (Jeong, 2008;

Kim, 2008; Shin and Shin, 2008; Lee and Ahn, 2007; Moon and Kim, 2006; Kim *et al.*, 2006; Lee, 2005; Yoo and Hong, 2005).

5.4.1 Collaborative Governance in Conflict Mediation

This section explains how collaborative governance has developed in the field of conflict mediation in urban planning in South Korea. Several authors (Jeong, 2006; Lee, 2005; Yoo and Hong, 2005; Kim, 2004; Lee, 2001) have argued that environmental conflict has been resolved in three ways in South Korea: an administrative conflict resolution process, which is based on the 1991 Environmental Dispute Settlement Act; a judicial settlement, which has been used to reach a final decision in conflict between public and private sectors; and a new alternative resolution process which is based on consensus-building and which has been used since 2000, but not frequently.

In South Korea, conflicts used to be tackled by administrative and judicial power rather than consensus-building processes. For example, the selection of the country's nuclear waste disposal site was an example of administrative conflict resolution. Twenty-seven years passed in attempts to select a nuclear waste disposal site before Gyeong-ju City was selected as the location through an administrative conflict resolution process in 2005. The government's choice of various sites had been opposed by the residents of the target areas since 1986 (Korea Policy Portal, 2008). Finally, in 2005, a special act providing for a residents' poll in Gyeong-ju City completed the site selection process with an approval rate of 89.5 percent of residents' votes (*ibid*). With regard to the Sae-man-geum project, which involved the building of a 33 km tide embankment between

Gun-san and Bu-an, there were severe conflicts between government and environmental NGOs from 1991 on. Even though this project had been suspended twice by 2005, it was resumed again in 2006 following a decision of the Supreme Court. However, several authors (Ju, 2007; Kim, 2005; Cho, 2004; Kim, 2004) cast doubt on whether the conflict was fully resolved by this judicial decision. In addition, Jeong (2006) argues that a judicial settlement may decrease the opportunity for public involvement by communities and NGOs. The Mount Cheong-seong section of the Seoul-Busan high speed railway project, which was built following a decision by the Supreme Court, was depicted as a possible source of conflict by the press (Newsvision, 2006).

In contrast to the above instances of administrative and judicial resolution of cases, new collaborative approaches have emerged and developed in the field of conflict mediation in the 2000s. The Dong River Dam project and the improvement of the quality of water in the Dae-po River illustrated the emergence of collaborative governance. The Dong River Dam project was initiated by central government after floods in the Yeong-wol area in 1990 (Lee, 2005). However, after 1997, when the government announced the plan, this project was faced with intense opposition from environmental NGOs, local government and residents (ibid). As a result, in 1999, the office of the Prime Minister organised a committee of 33 members recommended by central government and NGOs. The committee carried out a feasibility study of this project which included conducting fieldwork and interviewing residents. In 2000, the committee recommended stopping the project, which brought to an end a long period of conflict (ibid).

The Dae-po River case also showed the features of collaborative governance (Yoo and Hong, 2005). In 1997, the Dae-po River was supposed to be designated by central government as a clean water area due to serious pollution of its water by activities in the surrounding area. This aroused the opposition of local residents, who thought it might have a negative effect on their property rights (ibid). Along with this opposition, however, the residents realised that only by improving the water quality of the Dae-po River would the government's view change, because it could not accept the severe environmental degradation that was taking place in the area. The residents therefore implemented various activities for improving the water quality (Yoo and Hong, 2005): they organised a self-governing committee without the intervention of government; they established general rules for decision-making processes; raised money to improve the water quality; promoted social learning processes through guidebooks and site visits; reported their efforts to the community; maintained a close watch on water pollution; and cooperated with central and local governments to obtain administrative and financial assistance. As a result, the Dae-po River was designated as a water quality improvement area in 2004, which brought about many benefits, including a resident-support fund.

There are many other examples in South Korea of successful collaborative practices. Kim (1997) discussed a case in 1995 where the process of selecting the site of a waste incinerator included some collaborative features such as organising a committee which consisted of ward council members, ward bureaucrats, professors and citizen representatives chosen by the ward council. Moon and Kim (2006) showed the importance of collaborative approaches based on interaction, leadership and institutions

in their study of the relocation of the Defence Security Command to Gwa-cheon City. In particular, they showed how an autonomous multilateral organisation contributed to resolving a complex conflict in urban planning.

Lee and Ahn (2007) examined the effects of a consensus-building process in the collaborative planning practices of the Si-hwa area, focusing particularly on social learning, shared understanding, adequate procedures and mutually informed, empowered, and respected participation. The Si-hwa land reclamation project was chosen as a case study for this thesis because of the experience there in developing specific collaborative approaches to conflict mediation.

5.4.2 Collaborative Governance in Urban Policy-making

This section focuses on how collaborative governance has developed in the field of urban policy-making in South Korea. As the paradigm of administrative management has changed from a unitary and closed government system to diverse and open governance, urban policy-making processes have also had to respond to many challenges, such as globalisation, decentralisation and the growth of civil society, which are described in the following account of three periods in South Korea's recent history.

Until the latter half of the 1980s, public involvement, one of the elements of collaborative governance, was highly restricted under South Korea's military regime, even though the Urban Planning Act of 1981 had introduced public hearings and public displays of information for the first time as a part of the urban planning process (Kwon

et al., 2006; Kim, 2005; Lee, 2005). At that time, public hearings were often not effective, because they were sometimes used simply to give the process legitimacy by satisfying minimum legal requirements (Kwon *et al.*, 2006). For example, in the proceedings of the Wider Urban Plan, the government decided the date, place and other details of public hearings without consulting other interested parties in advance. So, it is fair to say that in the 1980s urban policies were decided and implemented by the will of the government.

From 1987 on, people in South Korea began to be aware of the importance of participation, because they were more subject to the influence of democracy (Lee, 2005). In addition, the local autonomy system, established in 1991, introduced a completely unforeseen degree of devolution and decentralisation (Moon and Kim, 2006; Park, 2001). Challenges such as globalisation caused a big administrative shift to the New Public Management (NPM) based on decentralisation and deregulation (Lee, 2001). Against this background, since the 1990s the government has begun to change its role from that of an authoritarian and secretive actor to that of a civic-minded and open one. This change also has been reflected in the urban planning process, particularly through planning acts such as the UDA of 2000, the APUNT of 2002 and the FANT of 2002, as mentioned before. In addition, the 1999 Act for the Promotion of Local Devolution of State Administrative Authority has contributed to the horizontal and cooperative intergovernmental relations between central and local governments (Park, 2002). However, these procedures were mostly confined to some stakeholders such as government, experts and NGOs (Lee, 2005). It was difficult for citizens to participate in the decision-making process from the beginning of a project and to change the content

of an original government-driven draft, because these collaborative procedures took effect mainly in the final stages of the decision-making process.

In contrast to past practice and experience, collaborative governance began to emerge in urban planning practices in the 2000s, even though, in most cases, it does not have an adequate legal foundation. Several authors (Shin and Shin, 2008; Lee and Ahn, 2007; Moon and Kim, 2006; Kim *et al.*, 2006) believe that, despite the lack of sufficient mandates, South Korea over the past ten years has taken the initiative in institutionalising collaborative policy-making. The liveable community-improvement projects are the most typical of these practices, even though they have had to contend with limitations such as authoritarian government and distrust between interested parties (Kim, 2008). These community-improvement projects aim to turn people's living places into healthy, vital and cultural areas through public involvement (KNHC, 2008; Jeong, 2008; Kim *et al.*, 2006). Public involvement is regarded as the most important thing about these projects, because they give priority to a bottom-up policy-making process (Jeong, 2008). The participation of communities is supported by various social learning programmes and support systems (*ibid*). Shin and Shin (2008) illustrate collaborative policy-making practices through the case study of a community-improvement project in Seoul, focusing on the role of residents' organisations, the resident-driven master plan and the establishment of a support system.

The second case study for this thesis, the liveable community-improvement project in Buk-Gu in Gwang-ju Metropolitan City was selected, because it is an example of successful outcomes in the field of collaborative policy-making in the 2000s.

5.5 Conclusion

This chapter has provided an outline of collaborative governance in urban planning in South Korea. Through a review of the relevant Korean literature, we have explored the specific characteristics of collaborative planning in South Korea. The chapter has shown that South Korea has been developing collaborative governance in urban planning practices throughout the 2000s, particularly in the fields of conflict mediation and collaborative policy-making, but that this is not yet a frequent feature of these practices. This is the background against which the next chapter will present a methodological framework for the research, identifying the research questions and explaining why and how the case study areas were selected from a review of the relevant literature.

CHAPTER 6

RESEARCH METHODOLOGY

6.1 Introduction

The research reported in the following chapters examines the relationship between collaborative governance and sustainable development in practice, paying particular attention to the fields of conflict mediation and collaborative policy-making in urban planning in South Korea. This chapter discusses the methodological framework for the research, drawing up research questions suggested by the review of the relevant literature and providing specific research methods.

The chapter begins with an explanation of the methodology to be employed in addressing the research questions outlined in the introductory chapter. The two case studies undertaken in South Korea explore the relationship between collaborative governance and sustainable development in urban planning. The chapter also introduces the criteria for the selection of case study areas and explains the research processes used, particularly focusing on in-depth interviews with key stakeholders. In addition, it includes an explanation of how the case studies were conducted and how they were submitted to detailed analysis.

6.2 The Research Questions

This section explains how the research questions were chosen and investigated. From the review of relevant literature, it was clear that few researchers had focused on the relationship between collaborative governance and sustainable development, even though there had been plenty of relevant research about collaborative governance. It might be because it was usually taken for granted that solutions based on collaborative governance would meet diverse interests.

The thesis starts with a question as to how the principles of sustainable development can be implemented. Some scholars (Jepson, 2001; Selman, 1996; McDonald, 1996; Hossain, 1995) argue that implementing the principles of sustainable development needs an overall political system which promotes effective public involvement, consensus-building and good governance, while some institutions argue instead for the importance of a country's national strategy for sustainable development (HMG, 2005; OECD, 2002). From the literature review, this thesis considers collaborative governance to be such an effective system of the type advocated by the former (Innes and Booher, 2004; Ginther, 1995; Boer, 1995). Collaborative governance is a representative concept for understanding modern governance, because it is evident that most contemporary issues are highly complex and so cannot be solved by a single actor alone. Collaborative governance has developed in the 2000s as a new paradigm to implement the principles of sustainable development in urban planning. However, some scholars argue that collaborative governance cannot be the key to implementing the principles of sustainable development in a local area unless it involves enough elements which

correspond to specific situations in the area (Kim, 2008; Futo *et al.*, 2006; Demetropoulou *et al.*, 2006; Kwon *et al.*, 2006; Harrison *et al.*, 2004; Baiocchi, 2003).

Drawing on the literature, the previous chapters have explored the concept and characteristics of sustainable development and collaborative governance, and the collaborative elements of urban planning. Chapter 2 introduced the main principles of sustainable development: conservation of the environment; pursuit of sustainable economic growth; achievement of equity; improvement of the quality of life; enhancement of participatory democracy; and a long-term vision based on a holistic outlook. Chapter 3 explored the key features of collaborative governance: effective public involvement, the role of government as a facilitator, and the institutional capacity of stakeholders. Seeking a system that would demonstrate collaborative governance, the author selected planning, because a planning system has sufficient capacity to integrate diverse concerns about sustainable development while involving various collaborative elements. Chapter 4 identified the following six elements of collaborative governance in urban planning: inclusive stakeholder involvement; promotion of institutional capacity; collaborative leadership of stakeholders; the role of government as a facilitator; the role of education and training; and institutional design. The literature suggests that the quality of these elements depends on the extent of interdependence between stakeholders, the degree of dialogue and mutual trust, and the cultural, historical and political characteristics of a society.

Against this background, the research will examine the relationship between sustainable development and collaborative governance in urban planning, exploring whether the

characteristics of planning correspond to the features of collaborative governance in two major fields of collaborative planning in South Korea: conflict mediation and collaborative policy-making.

Drawing on reviews of relevant literature, four research objectives are set out:

- To explore the characteristics of collaborative governance in urban planning in South Korea
- To examine the relationship between sustainable development and collaborative governance in urban planning in South Korea
- To look at the role of government in a collaborative governance era
- To explore and highlight the potential for future collaborative governance.

Thus, the main research questions are:

Q1. What are the characteristics of urban planning in South Korea that relate to collaborative governance?

Q2. What consequences do the elements of collaborative governance in urban planning have for the principles of sustainable development in South Korea?

Q3. In a collaborative governance era, what role does government play in working towards sustainable development?

Q4. What is needed to enhance the quality of future collaborative governance?

Why are these questions important for the research? The literature has already identified six main elements of collaborative governance. However, it can be asked whether the urban planning system in South Korea has developed these collaborative elements properly. This is the purpose of the first research question.

Some have argued that implementing the principles of sustainable development requires various strategies, including collaborative approaches (Wheeler, 2004; Berke, 2002; Jepson, 2001; Innes and Booher, 1999b; Selman, 1996; McDonald, 1996; Shaw and Kidd, 1996). Thus, the second question is to examine the relationship in practice between sustainable development and collaborative governance in urban planning practices, using the main principles of sustainable development and the main elements of collaborative governance identified respectively in Chapter 2 and Chapter 4.

It has been said that government has adapted itself to a collaborative governance era through decentralisation and public involvement, and that it has played an important role in opening debates, enhancing the quality of participation and implementing collaborative outcomes (Durose and Rummery, 2006; Carnoy and Castells, 2001; Stoker, 1998). However, sometimes government does not act as a facilitator in collaborative processes, but rather maintains past hierarchical ways (Kim, 2008; Futo *et al.*, 2006; Demetropoulou *et al.*, 2006). Thus, it is necessary to examine the role of government in collaborative planning practices. This is the aim of the third question.

The last question, which will draw particularly on the case study analysis, is intended to show what is needed to enhance the quality of future collaborative governance.

6.3 Methodology

6.3.1 Case Study as a Research Strategy

The methodological approach chosen for any piece of research is designed to provide proper data to answer the research questions and to attain the research objectives. This section introduces the methodology considered for this research and shows how appropriate research methods were chosen. There are many research strategies that may be used to collect and analyse empirical evidence (Yin, 2003a): experiment; survey; historical analysis; archival analysis; and case study. From these, case study was selected as the best means of answering questions about how collaborative governance contributes to sustainable development in urban planning practices in South Korea. Many other researchers who have dealt with collaborative practices have also used case study as their research methodology, as is summarised in the Table 6.1.

A case study methodology is a suitable approach for finding answers to research questions where the research deals with a contemporary set of events which investigators will rarely be able to control (Yin, 2003a). The research described here uses case study to investigate complex issues such as the relationship between sustainable development and collaborative governance. A case study approach can also give the researcher a good opportunity to look at the holistic and meaningful features of complex social events by dealing with many pieces of evidence through various research methods (Hammersley, 2004; Yin, 2003a). Like many other studies in the field

of social science, this case study draws on qualitative research methods including interviews, documentary analysis and observation.

Table 6.1 Various Examples of the Use of Case Studies as a Research Strategy

Author	Purpose	Research Methods
Jones and Evans (2008)	To examine how the Park Central Partnership in Birmingham produces successful collaborative outcomes	Case Study Documentary Analysis Interviews
Shin and Shin (2008)	To suggest how the planning process of a community-improvement project contributes to improving living conditions in a dwelling, in the case of the Project of Dok-san3 Dong, Seoul in South Korea	Case Study Documentary Analysis Direct Observation
Harrison <i>et al.</i> (2004)	To assess the extent to which experimental discursive spaces support the pursuit of a collaborative approach in the decision-making process, in the case of the Greater London Authority	Case Study Documentary Analysis Interviews Archival Records
Burby (2003)	To examine the proposition that planners can produce better plans and increase the potential for government action through broad stakeholder involvement, in the cases of Florida and Washington	Case Study Documentary Analysis Interviews Secondary Analysis of Survey data
Connick and Innes (2003)	To demonstrate how dialogue has transformed policy-making practices, as well as the way in which day-to-day decisions are made, in three cases related to the California water policy	Case Study Documentary Analysis Interviews Direct Observation
Ryan (2001)	To identify and sort out the roles that an agency plays in a collaborative policy-making process, in the case of the US Environmental Protection Agency	Case Study Documentary Analysis Interviews
Innes and Booher (1999b)	To examine how the relationship between environmental goals and economic development is part of a larger system involving governance structure, in the case of California	Case Study Documentary Analysis
Kim (1997)	To examine types of citizen participation and the effect of these, in cases in South Korea	Case Study Documentary Analysis

6.3.2 The Research Methods

Research methods can be classified into two kinds: a process-driven qualitative method and an outcome-driven quantitative one (Yin, 2003b). In general, qualitative research helps researchers understand real-life events, and involves such methods as interviews, observation, documentary analysis and historical analysis (Berg, 2007). However, the dichotomy between the two methods has become an unproductive debate, because the characteristics of research methods depend on the types of data being sought and the purposes of the research (ibid). Against this background, this section of the thesis explores various types of data for case studies.

Data is mainly collected from the following sources (Becker and Bryman, 2004; Yin, 2003a): documentary analysis, archival records, in-depth interviews, and direct and participant observation. First, documentary analysis is useful to most case studies, because documents can give specific information and hints for further investigation (Yin, 2003a). The documents that can be used for research are (Yin, 2003a: 85):

- Letters, memoranda, and other communications
- Agendas, announcements, and minutes of meetings and other written reports of events
- Administrative documents – proposals, progress reports, and other internal records
- Formal studies or evaluations of the ‘site’ under study
- Newspaper cuttings and other articles appearing in the mass media or in community newsletters

However, it is necessary to recognise that documents can sometimes mislead researchers, because documentary evidence may have been created for specific

purposes, whereas an investigator may assume that documents are a full record of true facts (Yin, 2003a).

Second, archival records such as computer files, survey data and census records can be used. Using archival records also requires a cautious approach, because again many may be produced for specific purposes and their coverage may therefore be partial (Yin, 2003a). Yin (2003a: 89) lists examples of archival records as follows:

- Service records, such as those showing the number of clients served over a given period of time
- Organizational records, such as organizational charts and budgets over a period of time
- Maps and charts of the geographical characteristics or layouts of a location
- Survey data such as census records, or personal records, such as diaries

Third, interviews are one of the most important sources of case study material. Interviews can be classified usually into three types (Arksey, 2004: 268-273; Yin, 2003a: 90-91): an open-ended interview, in which the investigator asks the interviewee for facts and opinions without relying on any formal or organised list of questions, sometimes even allowing the interviewee to control the direction the interview takes; a semi-structured or focused interview, in which the investigator follows a set of questions, using an interview guide, but responding to the direction the interview is taking; and, lastly, a structured interview, in which an investigator uses a more structured set of questions, such as a formal questionnaire. In general, the open-ended and semi-structured types of interview are used more frequently than fully structured interviews or survey questionnaires, because these are more suited to eliciting

information in today's complex and dynamic social situations (Arksey, 2004). Some (Arksey, 2004: 272-273; Yin, 2003a: 59) believe that effective interviewing needs specific skills: to establish trust between interviewer and interviewee; to ask adequate questions and obtain good information; to listen carefully without being trapped by a particular bias; to regard unexpected situation as an opportunity; to record data; and write up field notes.

Lastly, observation can provide various data reflecting real time events, and this can be classified into two kinds: direct observation and participant observation. Direct observation is an effective way to help investigators observe stakeholders' behaviour, or the atmosphere of an organisation, during their field visit (Yin, 2003a). Direct observation can also provide special data such as photographs. Participant observation produces an opportunity for the investigator to participate in the events of a case study. However, participant observation may damage the credibility of a case study. For example, a participant-observer may find it difficult to be in the right position at the right time and may not have sufficient opportunity to observe important events. Problems such as this may lead to manipulation of the data (ibid).

In addition, Yin (2003a: 97-106) suggests three principles of data collection. First, using multiple sources of evidence makes the conclusions of a case study more persuasive and precise, because the results can be supported from more than a single source. Second, securing the reliability of a case study needs formal databases, for example containing case study notes, which allow other investigators to review the raw data. And, lastly, maintaining a chain of evidence enhances the reliability of the information in case

studies. Through a chain, an external observer can trace the steps from initial research questions to conclusion. For example, a chain of evidence may consist of case study questions, a database of case study notes, and the case study report.

6.3.3 The Methodological Framework

Drawing on the relevant literature reviews, a specific methodological framework was set up, as shown in Figure 6.1, to examine the relationship between sustainable development and collaborative governance in urban planning in South Korea. The two case studies were conducted to explore the relationship, using the analytical framework. Data for the research were collected from the following sources: documentary analysis, in-depth interviews, direct and participant observation and site visits.

In particular, the research focused on in-depth interviews, which consisted of open-ended and semi-structured interviews with key stakeholders, because interviews not only help a researcher understand actors' behaviours, values and beliefs in the specific context of the social policy research setting, but also have flexibility which may enable the researcher to take account of unexpected events in a research process (Becker and Bryman, 2004). The last section will discuss the research process in detail. The relationship between research questions and research methods is shown in Table 6.2.

Figure 6.1 The Methodological Framework

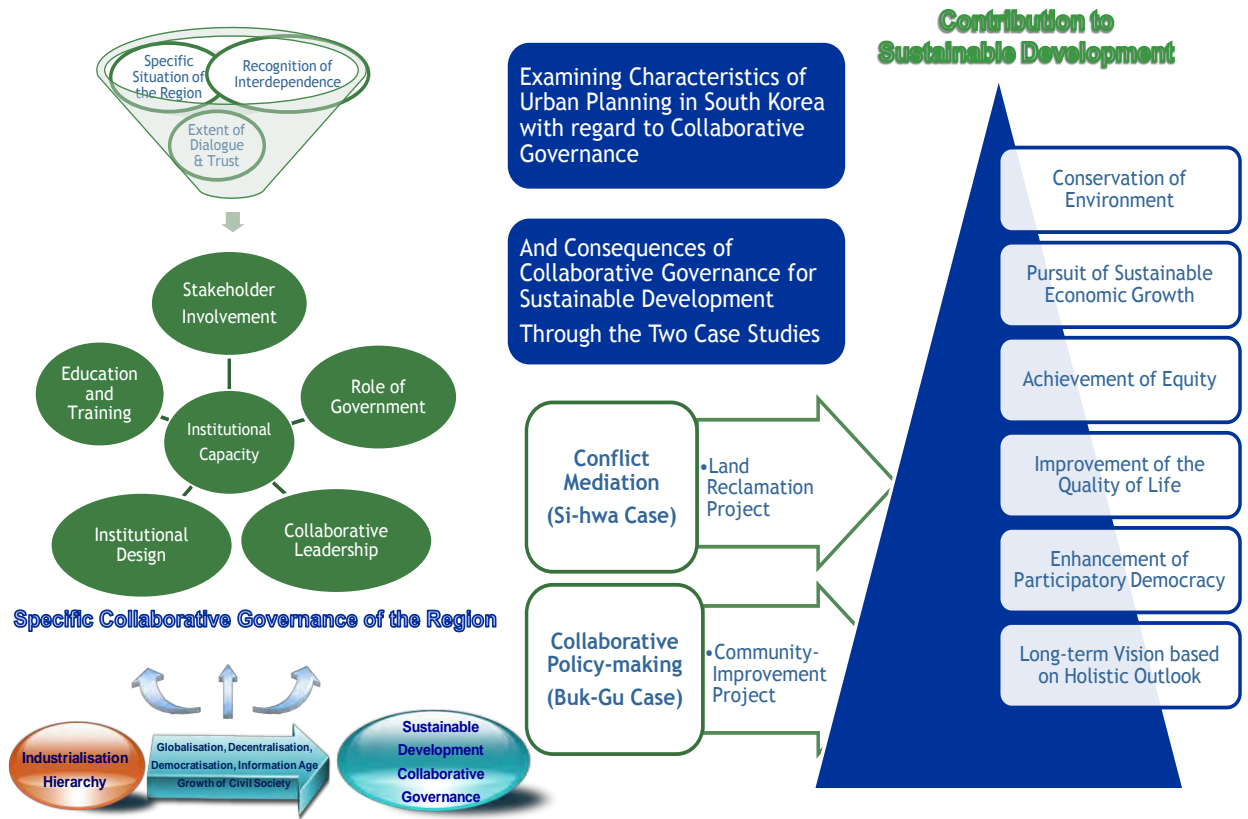


Table 6.2 The Research Questions and Methods for the Research

Research Methods \ Research Questions	Documentary Analysis	Interviews	Observation	Site Visits
Key Elements of Collaborative Governance in Urban Planning	◎	◎		
Consequences of Collaborative Governance for Sustainable Development	◎	◎	◎	◎
Role of Government In Collaborative Governance	◎	◎	◎	◎
What needed for Enhancing the Quality of Future Collaborative Governance	◎	◎	◎	◎

6.4 The Case Studies

6.4.1 The Selection and Introduction of the Case Study Areas

The research examines how collaborative governance contributes to sustainable development in two aspects of urban planning in South Korea: in the field of conflict mediation at the Si-hwa land reclamation project in Gyeong-gi Province; and in the field of collaborative policy-making at the Buk-Gu liveable community-improvement project in Gwang-ju Metropolitan City.

The case study areas were selected using a number of criteria. The time period for the case study areas is the 2000s, because there has been a general shift from government to collaborative governance in South Korea since 2000. The projects for the case study areas needed to have some features of collaborative governance, such as inclusive stakeholder involvement, because the aim of the research was to examine the relationship between sustainable development and collaborative governance. Third, the two case study areas needed to offer examples of conflict mediation and collaborative policy-making respectively, because the research was designed to investigate whether the features of collaborative governance worked in these two aspects. Fourth, the areas for the case study needed to be located in urban regions, while the size of each area needed to be different so that the influence of scale could be taken into consideration.

This section gives a brief introduction to each area. The Si-hwa case study is about a land reclamation project which had a history going back more than 40 years, where

there had been serious conflicts between the interested parties. However, the Si-hwa Sustainable Development Council (SSDC), which was set up with inclusive stakeholder involvement in 2004, reached its first agreement in 2006. The agreement was related to both the overall development plan and a plan for the improvement of the quality of air and water. It was reached through the use of various social learning processes; and it will continue to deal with other issues in the Si-hwa area until 2022. Researchers have been looking at the Si-hwa project since the late 1990s. Several of these scholars (Park, 2007; Kim, 2007; Lee, 2003; Lee, 1999; Kim *et al.*, 1998) confirmed that the Si-hwa area had experienced severe environmental damage and needed various activities for environmental improvement, and they analysed the structure of the environmental conflict related to the Si-hwa project. Some (Park, 2008; Lee, 2007; Jeong, 2007a) thought highly of the consensus-building process of the Si-hwa project, while others (Park, 2007; KFEM, 2007; Yum, 2007) criticised the government for taking advantage of the project to give the impression that civil society was conferring legitimacy on its activities.

The Buk-Gu case consists of many community-improvement projects which were initiated by residents' autonomy committees with the support of local government and experts in 2000, and have developed into collaborative practices since then. This case study deals mainly with the community-improvement projects of Mun-hwa Dong in Buk-Gu³³. As the projects have grown in scale, more actors, such as government, have become involved in them and the projects have shown the features of collaborative governance. With respect to collaborative policy-making, there has been a great deal of

³³ Buk-Gu is one of the five *gus* of Gwang-ju Metropolitan City. The term *gu* means an administrative district which consists of several *dongs*. See Section 5.3.2.

relevant research in South Korea: some scholars (Cho, 2007; Lee, 2007; Song, 2006; Kim *et al*, 2006; Lee, 2006; Lim, 2005; Lee, 2004; Kim *et al*, 2004) have focused on how successful participatory communities are created through collaboration; others (Song *et al.*, 2008; Suh and Lee, 2008; Hwang, 2007) have been interested in how collaborative processes have been supported and evaluated. For this research, the relationship between collaborative governance and sustainable development is examined through an analysis of the community-improvement projects in Buk-Gu, particularly focusing on Mun-hwa Dong.

The main features of the two case studies are summarised in the Table 6.3 below.

Table 6.3 The Main Features of the Two Case Studies

Key Features	Si-hwa Case	Buk-Gu Case
Characteristics	Land Reclamation Project (Conflict Mediation)	Community-Improvement Project (Collaborative Policy-Making)
Location and Scale (Size)	Capital Area Medium (9.26 sq km)	Metropolitan Area Small (3.17 sq km)
History of Project (Year)	Government-driven (75-95), Conflict-driven (96-03), Governance-driven (04-)	Government-driven (70-98), Citizen-driven (99-03), Governance-driven (04-)
Most Influential Actors	Environmental NGOs	Residents' Committee and Local Government
Initiator of Governance	Central Government and Environmental NGOs	Residents' Committee and Local Government
Form of participation	Joint Committee of All Stakeholders	Residents' Committee, Expert-driven Joint Committee and Other Stakeholders

These two case studies are familiar to the author who, as a government official in South Korea, had been involved in both projects indirectly. In addition, the two case study

areas are close to the author's own residence and hometown. From this, it might be assumed that familiarity would give the author more intimate and open access to stakeholders in the projects. In practice, some people, such as NGOs and residents in the case study areas, welcomed this opportunity to have a 'listening ear' from a government official engaged in research (Arksey, 2004: 273). However, it must be acknowledged that this familiarity could also be a handicap, because certain obligations resulting from familiarity may prevent a researcher from 'saying some things which an outsider would have little difficulty in discovering and perhaps no hesitation in saying' (Fischler, 2000: 186-187; Meyerson and Banfield, 1955:14-15). With regard to this point, however, most interviewees were not acquaintances of the author, except for some central government officials with whom interviews were conducted in the same way as with other respondents, through the following research process.

6.4.2 The Research Process

Drawing on the relevant literature on collaborative approaches in South Korea, the case study areas were selected in June 2008. After selecting them, the field work began with detailed documentary analysis in July 2008, and this preliminary work provided a basis for in-depth interviews.

The Documentary Analysis

In order to establish the present state and history of the project, official documents and many pieces of research were analysed. The documents came from diverse sources –

from central, regional and local governments, and from relevant research studies. The MLTM's reports were very helpful, because there was plentiful information on the project and the work of the joint council, including regulations, all minutes of collaborative meetings and detailed agreements. In particular, in the Si-hwa case, the substantial collection of minutes gave an insight into the atmosphere of the joint council meetings and the relationship between stakeholders in the joint council, even though it took a great deal of time to read them. To avoid the weakness of 'biased selectivity' in assembling the documents (Yin, 2003a: 86), many – including those that argued against government policy – were selected and analysed. The collection of data that followed this was conducted through reviewing general materials, relevant websites, newspapers and statistical data for the period between July 2008 and January 2010 continuously.

Interviews with Key Stakeholders

A framework for in-depth interviews, including topic guides, was prepared in November 2008 through detailed analysis of the documents mentioned above. The research used both open-ended and semi-structured interviews. Interviewees were classified into the following categories: central, regional and local government officials, local councillors, residents, representatives of environmental and social NGOs, academic and professional experts, and staff of the public corporation. Most interviewees were representatives of their organisations, responsible for managing the projects or related to them in other ways. Interviewees were selected with a view to reflecting different points of view, because there might be arguments for and against the effects of collaborative practices: some interviewees supported collaborative governance in the case study areas, but others criticised it, despite its positive outcomes.

Interviews were conducted in 2009. The first 35 interviews were conducted face-to-face in April 2009 in South Korea, while the second 32 supplementary interviews carried out to complement the first interviews were completed using telephone and e-mail in November and December 2009. Appendix 1 provides a list of interviewees and other sources, such as a site visit.

With regard to the interview questions, different topic guides were prepared for different kinds of interviewees. In particular, interview questions were examined several times through supervision, pilot interviews and discussion, in order to minimise the possibility of including 'poorly constructed questions' (Yin, 2003a: 86). The interviews for each case study were conducted with nearly 28 main questions which included two or three sub-questions for each main question. The pilot interviews were with a PhD student who had studied governance at the Centre for Urban and Regional Studies in the University of Birmingham and another person with little theoretical expertise about collaborative governance. Through some modification and more supervision, the topic guides were completed. Appendices 2 and 3 present examples of topic guides in the Sihwa case study and in the Buk-Gu case study respectively.

However, it was difficult to obtain interviews, because most government officials, residents and NGOs were reluctant to answer questions related to complex issues. Obtaining the agreement of interviewees required the building of trust between an interviewer and an interviewee through regular contact. It took four months, from December 2008 to March 2009, to prepare for the in-depth interviews. A great deal of effort went into contacting all interviewees several times, through e-mail and telephone,

during this period. Sometimes, having a network from previous government experience was helpful when getting in touch with the interviewees. Such contacts not only gave interviewees a detailed explanation about the background to the research, the purpose of the interview and the details of the interview schedule, but also established mutual trust between the interviewer and interviewees. When topic guides were sent to them in March 2009, the author telephoned all interviewees again and explained these guides in detail. When some stakeholders, particularly residents, had doubts about the exact meaning of questions, more explanation was given.

Following these preparations, in April 2009, the first fieldwork was carried out in South Korea. In total, 35 interviews³⁴ were conducted at different venues such as offices or other meeting places from 9 am to 7 pm every day. Each interview lasted for approximately one or two hours, sometimes three hours. All interviews were tape-recorded with interviewees' permission and field notes related to the interview questions were taken at the same time. All interviewees were very cooperative irrespective of their stance for or against the cases under discussion. There were also opportunities to attend some important meetings, such as a joint council meeting and a joint forum, and these provided insights into the atmosphere of the meetings, the behaviour of stakeholders and the relationships between stakeholders. In addition, some presentations and site visits were arranged officially by stakeholders who were in charge of the projects, and some photos and documents were collected.

³⁴ Exceptionally, one interviewee of the public corporation, who was in charge of the community-improvement project, was interviewed on 21 May 2009 in the UK.

When the researcher returned to the UK, all interview records were reviewed and summarised. Then the following procedures were followed: first, the main issues, including unexpected facts, were picked out from the summary of interviews; second, through repeated re-readings of the summary, some comments and suggestions about the main issues became obvious as a result of the author's insights; third, analysis of every answer given to interview questions was carried out in order to identify the specific characteristics of the two case studies in terms of each research question.

The above analysis was carried out from May to October 2009. Then, 32 supplementary interviews were conducted in November and December 2009 using telephone and e-mail. These interviews aimed to confirm the results of the first interviews and to obtain more detailed facts and ideas about specific issues under discussion. The same thorough preparation as was done for the first interviews was done again between August and October 2009. Most interviewees had already taken part in the first interviews. However, there were some changes. For example, the number of local councillors was reduced from three to one, because their influence on collaborative governance had already been identified. In contrast, the number of residents, regional government officials and experts was increased, because the first survey had shown the importance of their role and because the author wanted to acknowledge the value of their ideas about specific issues in the case studies. The supplementary interviews lasted for approximately half an hour to an hour and were tape-recorded with the interviewees' permission. Some interviewees submitted written replies through e-mail instead of spoken interviews, due to their busy schedule. The supplementary interviews were successful, convenient and cost-effective, even though the author had difficulty in

telephoning interviewees at the most convenient time due to time differences between the UK and South Korea. The findings from the field work, and the suggestions that arose from these, are presented in the two case study chapters that follow.

6.5 Conclusion

This chapter has explained the methodological framework used in the research for this thesis. It has identified the research questions arising from a review of the relevant literature; it has considered the choice of a case study approach; and it has explained why and how the case study areas were selected, and why the methods used to research them were suitable. The next chapters present the results of the two case studies, one in the field of conflict mediation at the Si-hwa land reclamation project and the other in the field of collaborative policy-making at the Buk-Gu liveable community-improvement project.

CHAPTER 7

THE CASE STUDY IN SI-HWA

7.1 Introduction

The use of collaborative governance in urban planning has been growing in South Korea since 2000. Collaborative practices have developed in the fields of conflict mediation and collaborative policy-making in South Korea. This chapter examines the relationship between sustainable development and collaborative governance in the field of conflict mediation, focusing on the activities of the Si-hwa Sustainable Development Council (henceforth referred to as ‘the SSDC’), which has been tackling the complex issues of the Si-hwa project since 2004. The SSDC includes various stakeholders, some of whom were in favour of, and others who opposed, the government’s policy. It reached agreement on the implementation of the Si-hwa Multi-Techno Valley (MTV) Project in 2006 through consensus-building processes, and it will continue to deal with relevant projects in the Si-hwa area until 2022.

There is plenty of literature about both the negative and positive aspects of collaborative governance. However, this chapter concentrates mainly on examining whether collaborative governance is an effective system to implement the principles of sustainable development. It explores the key elements of collaborative governance in

urban planning and examines, through the Si-hwa case study, how collaborative governance contributes to implementing the principles of sustainable development.

7.2 The Context of the Si-hwa Project

7.2.1 An Outline of the Si-hwa Area

Lake Si-hwa is located in the south-western part of the capital region of South Korea, within the administrative areas of Si-heung city, An-san city and Hwa-seong city in Gyeong-gi province. A basin area (477.5 sq km) for Lake Si-hwa was created in 1994 with the building of a 12.7 km tide embankment between Si-heung city and Hwa-seong city, and the Si-hwa project takes its name from the first syllables of these two cities (Park and Hong, 2007).

Figure 7.1 The Tide Embankment and Lake Si-hwa (Source: KWRC)

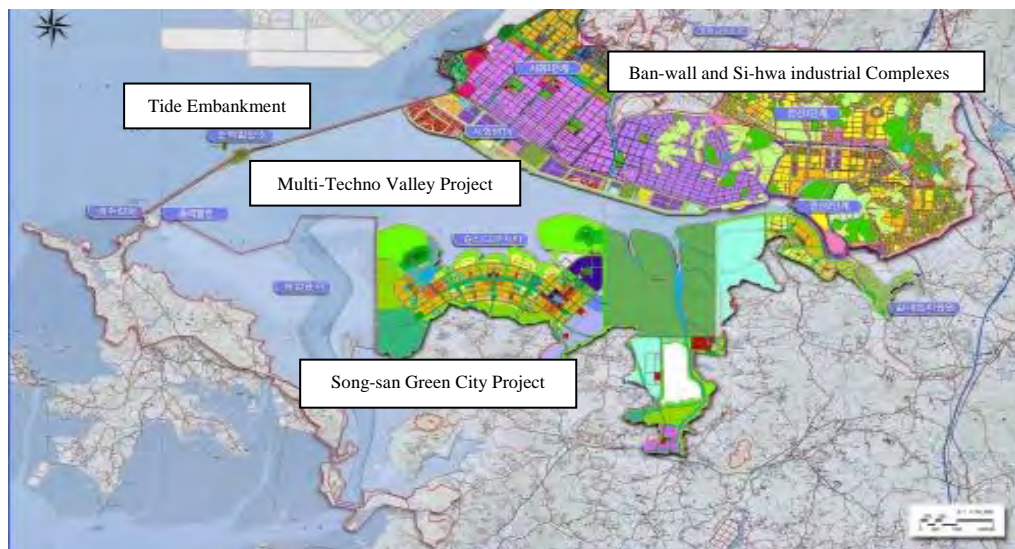


The Si-hwa area was created by land reclamation as a new industrial area which would meet the demand for a high-technology industrial complex in the capital region. This new industrial area would not only be near the capital but would include an excellent infrastructure of expressways and electric railways and would benefit from its proximity to the existing Ban-wall and Si-hwa industrial complexes (Lee *et al.*, 2007).

7.2.2 The Details of the Si-hwa Project

This case study focuses on two main projects³⁵ in the Si-hwa area: the Si-hwa Multi-Techno Valley (MTV) project and the Song-san Green City project. It is the SSDC that has dealt with the various issues related to these projects through consensus-building processes, even though central government and the Korea Water Resources Corporation (KWRC) were in charge of them originally (Lee *et al.*, 2007).

Figure 7.2 The Location of the Si-hwa Projects (Source: MLTM)



³⁵ The Si-hwa projects also include the Si-hwa Tidal Power Plant and the Dae-song agricultural complex and port facilities. However, these projects were excluded from this research, because the SSDC did not deal with them.

Table 7.1 The Two Main Projects of the Si-hwa Area (Source: MLTM)

Title of Project	Area (sq km)	Construction Costs (billion won)	Period of Construction	Undertaken by	Location
Multi-Techno Valley Project	9.26	2,394	2007 – 2016	KWRC	Northern Tideland of the Si-hwa Area
Song-san Green City Project	54.78	8,692	2010 – 2022	KWRC	Southern Tideland of the Si-hwa Area

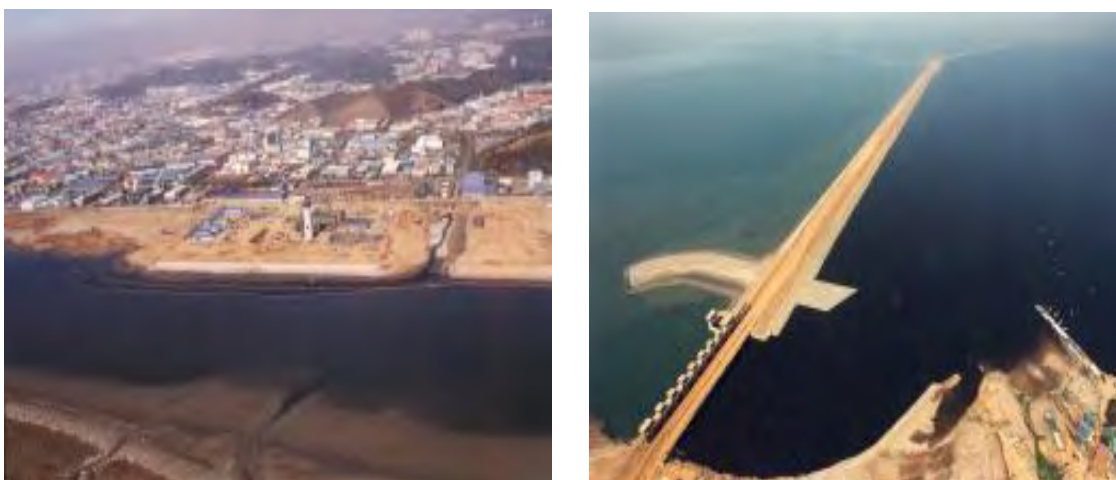
7.2.3 The History of the Si-hwa Project: from Government to Governance

The Si-hwa project has a long history, which can be classified into the three periods: government-driven; conflict-driven; and governance-driven. Appendix D provides a chronological table of the Si-hwa case in detail between 1975 and 2009. The first period, between 1975 and 1995, may be called the government-driven period, because successive governments took the initiative in creating a development plan and implementing it. There was little consultation with other stakeholders. The Si-hwa project began with the Land Reclamation Plan for the Southwest Coast in 1975 (Park and Hong, 2007: 6). The Ministry of Agriculture and Forestry pushed ahead with a land reclamation plan to create agricultural land and to supply irrigation water. However, since 1985, the Ministry of Construction (now, the MLTM) has changed the basic plan for the Si-hwa development area, pursuing simultaneously the creation of industrial and residential land as well as agricultural land (Lee *et al.*, 2007). The Industrial Base Development Corporation (now, the KWRC) started the construction of a 12.7 km tide embankment in 1987, and this was completed in 1994 (*ibid.*).

The second period, between 1995 and 2003, may be regarded as the conflict-driven period, because there were serious conflicts between government and civil society, due

to grave environmental problems. The construction of the tide embankment led to environmental conflict because of a lack of preliminary arrangements to prevent environmental problems (Lee *et al.*, 2007). For example, the waste water disposal plant was not completed until 1994. Thus, the quality of water in the Si-hwa area was affected by waste water from the livestock industry and industrial complexes. Despite the construction of waste water disposal plants three years later, the water pollution worsened. Various reform measures and investments failed to improve the quality of the water of Lake Si-hwa (ibid). Meanwhile, NGOs, which had been accumulating power through public participation and local autonomy systems since the 1990s, began to demand innovative reforms to national projects (Jeong, 2007a; Moon and Kim, 2006). The local governments and residents, realising how severe the pollution of Lake Si-hwa was, also opposed the Si-hwa project. The environmental conflict became more complicated, involving litigation and protest movements by NGOs and residents, even though the Korea Water Resources Corporation (KWRC) opened some lock gates in Lake Si-hwa in 1997 to improve the quality of water.

Figure 7.3 Water Pollution in the Si-hwa Area (Dark areas polluted) (Source: KWRC)



Despite this negative situation, there emerged some positive developments. For example, in 1999, local NGOs drew up a citizens' proposal for creating the Si-hwa ecological park (Lee *et al.*, 2007). This suggested a transition from a highly-charged environmental struggle to an environment-friendly development plan, even though the proposal was not accepted by the government (Park and Hong, 2007). The KWRC and the local NGOs established a joint working conference in 2002, but the conference was ineffective (MOCT, 2007b). The Ministry of Construction and Transportation (MOCT) suggested a long-term comprehensive development plan for the Si-hwa area in December 2003, presenting this plan through several workshops and a public hearing. However, the proposal was severely criticised by local NGOs and the press, because they believed that it did not fully consider the environmental degradation of Lake Si-hwa and did not reflect opinion in the local communities (Park and Hong, 2007).

The third period, from 2004 to date, may be described as the governance-driven period, in that a joint council of various stakeholders has tackled conflict and reached agreement on an alternative sustainable development plan for the Si-hwa area. Collaborative governance in South Korea has begun to develop as a new paradigm to tackle complicated conflicts since 2000 (MOCT, 2007a; Lee, 2005; Lee, 2002). The SSDC, which from the beginning has consisted of nearly 40 stakeholders, has many features of collaborative governance (MOCT, 2007a), for example: it includes a large number of stakeholders; it has developed various social learning processes; it selects the best possible consensus-building processes³⁶; and it was formally established with

³⁶ This means that the SSDC tries to create proposals which can be agreed without dissent and without the need for voting. However, considering the difficulty of this approach in practice, with regard to different views on specific issues, the SSDC endeavoured to reach agreement through more social learning processes, even though it took much time and effort (Park and Hong, 2007).

government approval. The SSDC reached an agreement on the Si-hwa MTV Project in November 2006 and launched it in August 2007. Along with this project, the SSDC has continued to deal with complicated issues relating to subsequent projects, such as the Song-san Green City project, and it will continue its work until 2022. The next section introduces the detailed features of the SSDC.

7.2.4 The Constitution of the Si-hwa Sustainable Development Council

The establishment of the Si-hwa Sustainable Development Council (SSDC) was initiated by the Ministry of Construction and Transportation (MOCT). The MOCT endeavoured to listen to the opinions of various stakeholders through the Si-hwa Policy Forum, which was set up in December 2003 after the Ministry experienced severe criticism from NGOs. It then suggested that the original proposal could be changed through a consensus-building process between stakeholders.

On being given this opportunity, the local NGOs³⁷ asked the central government to meet three requirements (Park and Hong, 2007): a joint council should include experts³⁸ recommended by the NGOs; all decisions should be made through a consensus-building process; and all discussion should be open to the public. Much to the local NGOs'

³⁷ 'The local NGOs' means the environmental and social NGOs which dealt with urban issues in the Si-hwa area.

³⁸ The Macmillan Education (2002) defines the term 'expert' as 'someone who has a particular skill or knows a lot about a particular subject'. However, it is argued that the concept of expert should be drawn more widely to include residents, local government officials and NGO members, who may be experts in the development of their own region as well as those normally regarded as 'experts' (South Denmark European Office, 2010). Despite this argument, the thesis limits its definition of experts to professionals such as a professor from a faculty of urban planning and the head of a research centre for environmental education. This is because, when it came to dealing with specific issues, the projects that the two case studies focus on had already decided to limit their definition of experts to professionals.

surprise, all these conditions were accepted by the MOCT and the Si-hwa Sustainable Development Council (SSDC) was set up on 16th January 2004.

Figure 7.4 A General Meeting in the SSDC (April 2009)



The activities of the SSDC can be classified into two kinds. In the first period, between January 2004 and February 2008, the Council mainly focused on the Si-hwa MTV project. The number of SSDC members fluctuated. In 2004, the SSDC consisted of nearly 40 people: central³⁹, regional and local government officials, representatives of local NGOs, experts, local councillors, members of the National Assembly and members of the KWRC⁴⁰. There were two chairpersons who belonged to the central government and the NGOs respectively. In particular, the SSDC included representatives of a number of local NGOs which strongly opposed the government: the Si-heung branch of the Korean Federation for Environmental Movement (KFEM), the An-san KFEM, the Hwa-seong KFEM, the An-san branch of the Young Men's Christian Association (YMCA), the Hwa-seong YMCA and a group called 'Citizens'

³⁹ They were from the MOCT, the Ministry of Environment (MOE), the Ministry of Maritime Affairs and Fisheries (MOMAF) and the Ministry of Commerce, Industry and Energy (MCIE).

⁴⁰ Hereafter in this chapter referred to as 'the public corporation'.

Solidarity for the Desired Lake Si-hwa' which was based in Si-heung city, An-san city and Hwa-seong city (Park and Hong, 2007). The SSDC also had three technical subcommittees: the Development Plan Subcommittee, the Water Quality and Ecology Subcommittee and the Air Quality Improvement Subcommittee. Every subcommittee consisted of approximately 15 people, with NGO representatives as chairpersons. During first four-year period, there were a total of 159 meetings, including 24 general meetings and 135 subcommittee meetings.

The second period of the SSDC's activities, from April 2008 to October 2009⁴¹, dealt mainly with the Song-san Green City project and the implementation of the previous agreement. The second stage of the SSDC had a legal foundation supported by Presidential Decree No. 19886, the Conflict Prevention and Resolution Regulation for Public Institutions, which was promulgated in February 2006 to foster the continuity and effectiveness of the agreement. The regulation included details of the constitution and operation of the conflict mediation council. By this time, the SSDC was made up of nearly 50 stakeholders. Its second constitution fostered the participation of regional and local government officials, local councillors and residents. A comparison with the first stage of its work shows that: regional and local government members increased from 8 to 12; the number of local councillors was enlarged from 3 to 9; a few residents began to participate as speakers; and from 2008 on, some residents participated as members of some SSDC task forces. In addition, the Mediation Committee and the Special Committee were in charge of discussing special issues in detail. The name of the Development Plan Subcommittee was changed to the Urban Plan Subcommittee.

⁴¹ The SSDC will continue until 2022. However, the research relates to the period up to October 2009.

Additionally, the Water Quality and Ecology Subcommittee and the Air Quality Improvement Subcommittee were merged to form the Environmental Improvement Subcommittee. From April 2008 to October 2009, there were 59 meetings of the SSDC and its committees (Table 7.2). Compared to the first period, the frequency of general meetings decreased considerably, while subcommittee meetings were held more often. This suggests that discussions had become more specialised for more complex issues (SSDC, 2008).

Table 7.2 The Number of Meetings held by the SSDC (Source: MLTM)

Period of the SSDC	Total number of meetings	Number of general meetings	Number of Development Plan Subcommittee meetings	Number of Water Quality and Ecology Subcommittee meetings	Number of Air Quality Improvement Subcommittee meetings
First Period (2004.1-2008.2)	159	24	59	36	40
Second Period (2008.4-2009.10)	59	2	Number of Urban Plan Subcommittee meetings	Number of Environmental Improvement Subcommittee meetings	
				Plenary Subcommittee	Water Quality and Ecology Subcommittee (A)
			21	1	Air Quality Improvement Subcommittee (B)
				18	17

7.3 The Features of Collaborative Governance in the Si-hwa Project

It is debatable whether collaborative governance can overcome the problem that those who participate in a collaborative governance system may represent their personal interest instead of public common goals (Tewdwr-Jones and Allmendinger, 1998). However, most of those interviewed for this research in Si-hwa agreed with the view that a contemporary society requires a collaborative governance system for mediating

between the concerns of diverse participants. The Si-hwa case demonstrated various features of collaborative governance, and it particularly suggested that, in order to develop them, a collaborative governance system requires trust-building based on regular contact and dialogue between stakeholders. This section presents the features of collaborative governance in the Si-hwa project, focusing on the activities of the SSDC.

7.3.1 The SSDC and its Various Stakeholders

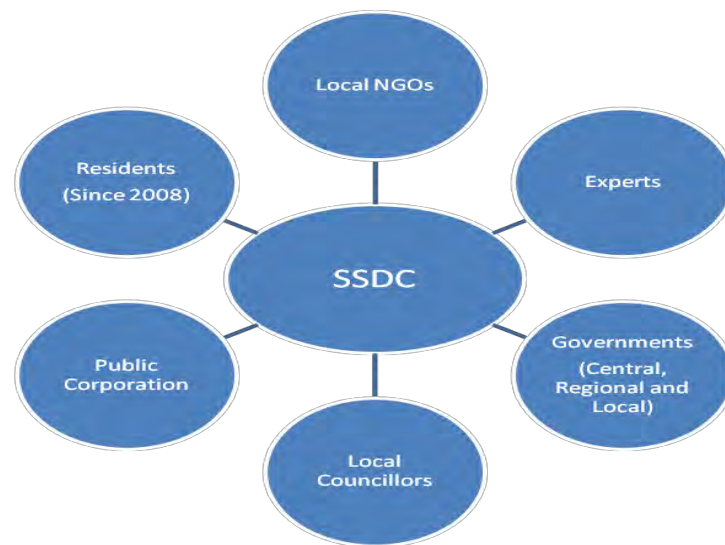
Inclusive Stakeholder Involvement

Most interviewees thought highly of the outcomes of the SSDC, in that the SSDC included various stakeholders, reflected the opinions of these people in the decision-making process, and reached agreement through consensus-building processes. One NGO interviewee focused on the importance of interdependence between stakeholders: for example, the central government needed to obtain legitimacy and practical knowledge from public involvement; and the NGOs needed financial and administrative support from public sector organisations if they were to improve the quality of the air and water in the Si-hwa area. The recognition of their interdependence paved the way for establishing the SSDC, and helped the SSDC involve various stakeholders, as illustrated in Figure 7.5 below.

The SSDC included representatives of many local NGOs which were strongly opposed to the government and had plentiful practical knowledge of the Si-hwa area. However, at the suggestion of the MOCT, national NGOs were excluded, because it was argued

that they might transform a local issue into a national one related to their other interests. The local NGOs accepted this request of the MOCT, because they thought they had sufficient capacity to deal with local issues and because they had dealt with this project without the support of national NGOs until then (Park and Hong, 2007).

Figure 7.5 The Constitution of the SSDC of the Si-hwa Project



Representation of Residents

There was some criticism of a lack of residents' involvement and the influence of some powerful members on the SSDC. An NGO interviewee criticised the SSDC for not involving residents from the very beginning. At first, in 2004, the SSDC involved local councillors instead of residents, because they doubted whether residents could be representative of the range of local communities (Park and Hong, 2007). However, some local councillors in South Korea were criticised for problems such as a lack of communication with residents, despite the fact that their participation represented a

contribution to the enhancement of local democracy (Kim, 2005). Most interviewees doubted whether local councillors could fully represent residents' voices.

Despite this tension, however, in April 2008 the SSDC decided to involve more local councillors. This was because it was thought local councillors could contribute to implementing any agreement by ensuring the cooperation of their local governments. Since 2008, the SSDC has also involved residents⁴², some of whom have participated in the subcommittees as speakers, and others who have participated as members of some SSDC task forces. One local government interviewee thought highly of the capacity of residents, saying:

From what I saw, residents had sufficient capacity to suggest reasonable alternative proposals to those suggested by experts, even though they mainly focused on their own interests (interviewed on 16th April 2009).

The Song-san Subcommittee showed the high capacity of residents. It included experts, representatives of the local government and the KWRC, and four representatives chosen by residents; and through several meetings held between December 2008 and May 2009 it worked to resolve a specific issue concerning the volume of soil needed for the land reclamation plan. After long discussions, the subcommittee reached agreement on lessening the total volume from 57 million m² to 26 million m².

With regard to the representation of residents, most interviewees agreed that representative and participatory democracy needed to be harmonised, suggesting that

⁴² A representative of Song-san Myeon was chosen by a council which consisted of heads of villages, various local organisation leaders and residents' autonomy committee members. Other representatives were chosen informally by residents in their communities.

the SSDC needed to involve residents as well as local councillors. A local councillor suggested that participatory democracy might compensate for the weakness of representative democracy, saying:

I think that representative democracy is the correct principle. However, it is necessary to increase the participation of residents in order to minimise the risk from low quality representation by local councillors [due to a lack of communication with residents] (interviewed on 23rd November 2009).

Figure 7.6 Residents Who Were Against Gathering Soil (Source: MLTM, Hwaseong News)



Unfortunately, the SSDC is still criticised for a lack of communication with residents. The Si-hwa case suggests that the SSDC needs to strengthen publicity, monitoring and feedback to residents. It also indicates that NGOs need to communicate with residents, particularly with the disadvantaged.

A Balanced Power Relationship

The SSDC has endeavoured to achieve a balanced power relationship between stakeholders through a sizeable consensus-building process, a two-chairperson system, and various social learning processes (Park and Hong, 2007; SSDC, 2005). In particular,

some public and private sector members of the SSDC had preliminary discussions before SSDC meetings, and at these exchanges administrative, legal and technical information about specific issues was shared. This encouraged stakeholders to participate in the SSDC more actively (Park and Hong, 2007).

However, an expert interviewee said that NGOs in the SSDC had too much power. Other stakeholders, such as central and local government and the public corporation, also mentioned that the most influential actor in the SSDC was the local environmental NGOs. An NGO interviewee mentioned that the effect of NGO participation might be to exclude the voices of more assertive residents who did not participate in the SSDC. With regard to this criticism, the Si-hwa case suggested that maintaining a balanced power relationship in the SSDC required the involvement of new members drawn from local residents. In addition, the Si-hwa case suggested that experts had an important responsibility for balancing the power relationship among stakeholders by supporting professional discussion, in that the decision of the SSDC depended on the opinions of experts when it came to specific issues.

7.3.2 The Promotion of Institutional Capacity

Institutional Capacity and Social Learning Processes

Healey (2006, 1998) concludes that the ultimate goal of the collaborative process is to establish and promote institutional capacity⁴³, because institutional capacity encourages

⁴³ See Section 4.4.2.

stakeholders to create new collective ways of thinking and acting. Most interviewees stated that the SSDC contributed to promoting the institutional capacity of participants through social learning processes. In particular, they all suggested that the success of the SSDC depended on participants benefiting from a high institutional capacity based on mutual trust. However, one NGO interviewee indicated that it took a long time to build up trust between stakeholders, saying:

The maintenance of the SSDC depended upon trust between stakeholders. This trust, which was built up through dialogue and interaction over a long period, could not easily be broken, because there was an adequate amount of communication between stakeholders (interviewed on 15th April 2009).

Sometimes, there was distrust among stakeholders in the SSDC. For example, some interviewees from local government and NGOs criticised the KWRC for not approaching environmental problems proactively. However, most interviewees thought that the various social learning processes they had been through had given SSDC members a high institutional capacity. They suggested that the SSDC had succeeded in building trust between stakeholders and tackling complex issues effectively.

The Institutional Capacity of Residents

Despite this positive view, the SSDC was criticised for a lack of resident participation, because the Council did not initially involve residents. This was the reason why some NGO members from the An-san KFEM and the An-san YMCA left the SSDC in July 2006 and began to work against it, expressing doubts about its legitimacy from a civil society point of view. This suggests that a lack of resident participation caused a failure

in trust-building. One NGO interviewee focused on the importance of resident participation, saying:

I do not agree that the SSDC has had a positive role in tackling conflict. However, if the residents participated in the SSDC, it might be helpful. The SSDC needed the participation of the residents and the experts who had practical knowledge of the region (interviewed on 17th April 2009).

From 2008 on, the SSDC began to involve some representatives chosen by residents. However, despite this change, it was not easy to promote the institutional capacity of residents. Some interviewees from among the NGOs and experts mentioned that strengthening publicity, monitoring and feedback to residents would have contributed to promoting the institutional capacity of residents. In addition, some interviewees from government, experts and the public corporation indicated that resident participation required the support of experts who would enhance residents' special knowledge of the situation. A public corporation interviewee stressed the importance of expertise, saying:

Given their lack of expertise, the residents' opinion might have been an obstacle to resolving conflict. Thus, operating and maintaining collaborative governance required some degree of professional knowledge to cope with specific issues (interviewed on 24th November 2009).

The Institutional Capacity of Government

Most interviewees confirmed that the role of government as a facilitator contributed to promoting the institutional capacity of participants in the SSDC. For example, the SSDC has had a codified set of detailed managerial rules from the outset, and in 2007 it was the subject of a Presidential Decree and a Directive of the MLTM. These

institutional measures encouraged stakeholders to participate in the SSDC and to produce collaborative outcomes in a continuous and stable manner. In particular, the Si-hwa case suggests that a high level of government support enabled the SSDC to continue to tackle further issues after the original ones had been dealt with.

7.3.3 Collaborative Leadership

Collaborative Leadership by Local NGOs and Central Government

The Si-hwa case suggested that collaborative leadership played an important role in initiating, protecting and encouraging collaborative networks. The SSDC was established under the collaborative leadership of the central government and the NGOs. Leaders on both sides recognised their interdependence and decided to collaborate on common goals. One NGO interviewee explained how he changed his mind about participation in the SSDC, saying:

I was very surprised to see that the high ranking central government official who was in charge of the Si-hwa project participated in a residents' ceremony called 'Ueum-island Dang-je'. He danced with the residents and participated in the ceremony. His action touched my heart, because he endeavoured to participate in our local event and to have a talk with us. So I decided to talk with government and participate in the SSDC (interviewed on 17th April 2009).

As described above, central government played an important role in encouraging stakeholders to participate in the SSDC, promising that the Council could change the original Si-hwa development plan through a consensus-building process. In addition, the government impressed the NGOs by letting them select experts and research

institutions to deal with specific issues. These changes contributed to establishing the SSDC despite initial deep distrust among stakeholders in 2004.

The NGOs also contributed to establishing, protecting and encouraging collaborative processes. The central government was doubtful about whether the NGOs would participate in the SSDC and respect whatever of final decision was reached. However, when the government accepted the NGOs' proposals⁴⁴ with regard to the constitution and operation of the SSDC, the NGOs changed their campaign strategy from one of strong opposition to one of participation in the Council. Nevertheless, once they had joined the SSDC, the NGOs were initially critical of the government's policy, refusing to compromise with other stakeholders. It was not until six months later that, as a result of sharing social learning processes with other stakeholders, they began to have a dialogue about some of the issues and to suggest alternative proposals.

In addition, the NGOs respected the agreements reached by the SSDC. In June 2006, the chairperson of the NGOs decided to accept the agreement produced by the SSDC, because he felt there had been sufficient discussion of all the issues, and because a consensus had been reached, even though some stakeholders, such as an environmental NGO member, still objected strongly on certain matters.

If the SSDC had failed to reach agreement at that time, there would be no joint council now. This suggests that the leadership of the NGO chairperson protected and encouraged the activities of the SSDC.

⁴⁴ See Section 7.2.4.

Collaborative Leadership by all Stakeholders

Most interviewees stressed that the attitude and quality of leaders was important to open discussion and to the implementation of agreements, because the quality of a collaborative governance system depends on the quality of its leaders. In particular, a local government interviewee focused on the importance of specific education and training programmes in enhancing community leadership, saying that community leaders played an important role in collecting the opinions of residents. In addition, the Si-hwa case indicated that establishing a long-term vision helped to bring about collaborative leadership, because it encouraged stakeholders to cooperate with each other towards common goals.

7.3.4 The Role of Government in the SSDC

The Role of Government as a Facilitator

Most interviewees stated that collaborative governance required government to be a facilitator playing a significant role in the consensus-building process rather than forcing their policy on other stakeholders unilaterally. In particular, most interviewees thought highly of the role of the central government with regard to the establishment and maintenance of the SSDC. They recognised that the MOCT had contributed to establishing the SSDC by suggesting a joint council and accepting all the demands made by their NGO opponents. It had also formalised the establishment of the SSDC through a Presidential Decree and a Ministry Directive. Another role of central

government was to translate the effort of collaboration into practice by providing financial, administrative and legal support. Indeed, one NGO interviewee expressed his satisfaction with central government's role in the SSDC despite giving a negative view of the Council itself. One central government interviewee mentioned that central government endeavoured to listen to the opinions of stakeholders and did not impose its opinion in the SSDC. An expert interviewee suggested that central government needed to be open-minded and to maintain a governance system without interfering in the collaborative process. In the same vein, a government interviewee suggested that the role of central government needed to be reduced, if a governance system were to succeed in building up trust among stakeholders.

Most interviewees stated that Gyeong-gi Province [the regional authority for the area] needed to take the lead not only as a mediator between the three city governments in the Si-hwa area, but also in integrating a long-term regional vision through cooperation with local governments. However, a regional government interviewee gave a negative view, saying:

Gyeong-gi Province had difficulty in creating a regional vision, because it had no legal right to establish a long-term comprehensive plan, despite there being 31 local governments in the region. This was because the Capital Region Readjustment Planning Act included a long-term vision for the capital region. We have established a 'Gyeong-gi vision for 2020', but this was not a legal plan, and we did not have the legal power to establish a long-term vision for this region (interviewed on 24th November 2009).

Despite this negative view, one local government interviewee stated that Gyeong-gi Province had shown a more positive attitude since 2006, because the new Governor, elected in 2006, had an intense interest in promoting the development of the west

coastal region of South Korea. Some interviewees from the NGOs, local councillors, local governments and experts suggested that Gyeong-gi Province needed to play an important role in promoting the development plan for the west coastal region by creating joint investment and a new confederation of local governments.

With regard to local government, most interviewees stated that it took the lead in establishing institutional structures and implementing collaborative outcomes. A local government interviewee stressed that local government rather than central government needed to take the initiative in dealing with local issues. Most interviewees agreed on the importance of cooperation between the three local governments in establishing a shared long-term vision for the region, through an integrated development plan.

Criticism of the Role of Government

There was plenty of concern from interviewees about the role of government. One expert interviewee warned that he thought there was a possibility of central government using the regulations established for the SSDC to intervene in its work. He suggested that central government needed to provide financial, administrative and legal support as a facilitator, instead of meddling in the decision-making process. In addition, an NGO interviewee criticised some central government departments which were not directly in charge of the Si-hwa project for not participating more actively in the work of the SSDC, because their absence might sometimes cause them to oppose the final agreements reached in the SSDC.

Some interviewees from the experts, NGOs and residents suggested that local governments could be indifferent to their neighbouring areas. Most said that regional government needed to encourage local governments to cooperate with each other in creating a long-term regional vision. They also said that local governments tended to focus on the development of the local economy rather than on other concerns, such as the environment. By contrast, a local government interviewee insisted that local governments' prime responsibilities were to their own cities and their own citizens, and that all tiers of government, central, regional and local, should cooperate in establishing and implementing a long-term regional vision.

7.3.5 Social Learning Processes in the SSDC

Education and Training for Potential Participants

The SSDC has developed specific social learning processes such as group learning, all night discussion, task forces and research for special issues, on-site inspections, forums and seminars (MOCT, 2007b). These have played an important role in encouraging participants to build up trust, to share understanding, to change power relationship and to create new ideas as part of a collaborative strategy-making process. For example, over the four years between January 2004 and February 2008, there were 159 meetings which were based on various 'social learning processes'⁴⁵. One central government interviewee referred to the important role of experts in the social learning process, in helping participants share their understanding on specific issues. For example, when

⁴⁵ This included 5 rounds of all night discussion; 29 rounds of group learning; 28 rounds of task force meetings; 8 rounds of short-term research; and 6 rounds of site inspection.

they were considering the eco-industrial park, the SSDC endeavoured to share understanding through a group learning process undertaken with the support of experts from various fields (Park and Hong, 2007; MOCT, 2007b).

However, one NGO interviewee criticised the SSDC for focusing solely on social learning within the SSDC, without developing an adequate education and training system for others who might be possible future participants. A local government interviewee said that the SSDC needed to encourage potential new members to participate through specific education and training programmes. In particular, most interviewees mentioned the importance of training and education for community leaders, because of their important role in encouraging residents to participate in collaborative processes. One resident representative said that the SSDC needed to provide community leaders with plentiful information and to put them in touch with some NGO members and experts, while one expert interviewee suggested the use of a city academy⁴⁶ as a means of providing education and training for residents.

Another expert interviewee mentioned that an education and training system required the support of government: for example, central government could provide guidance and local government could provide a facility such as a residents' autonomy centre as a place where training programmes could be held. He also suggested that local government needed to focus on how residents could identify local issues and establish a vision for the future of their community.

⁴⁶ City academy is an 'autonomous university' which encourages stakeholders to identify current issues and to suggest a long-term vision for the region (MLTM, 2009a and 2009d). See Section 8.3.2.

With regard to education and training for conflict mediation, the Presidential Commission on Sustainable Development (PCSD) has since 2004 been encouraging SSDC stakeholders to participate in discussion and to resolve conflict (GIA, 2008). The PCSD encouraged the government's educational institutions to set up education and training programmes such as Action Learning⁴⁷. It also held forums and workshops on conflict management; encouraged skilled professionals and voluntary organisation to involve themselves in conflict management; and established the Conflict Management System, which included various participatory decision-making methods. The SSDC selected this system to encourage people to discuss specific issues (MOCT, 2007b).

Establishing a Long-term Vision through Social Learning Processes

It is important for stakeholders to establish a long-term vision, which may help to avoid possible conflict between them (Healey, 2006). One expert interviewee agreed with this, saying that if a governance system was not based on a shared long-term vision, it would not work properly. The SSDC succeeded in establishing such a vision of an 'ecological tourist city' through various social learning processes, discussing questions such as 'whether development is indispensable in the Si-hwa area', 'what development area is adequate' and 'how to develop this area in a sustainable way' (Park and Hong, 2007: 29-30). This helped stakeholders overcome the perception gap between conservation and development and reach agreement on specific issues.

⁴⁷ This is one of a number of specific programmes to support participation in public affairs. Groups share their experience and knowledge with a view to improving ideas through mutual interaction.

7.3.6 Institutional Design and Continuity

Financial, Administrative and Legal Systems

Healey (2006) classifies institutional design into two kinds: collaborative strategy-making; and political, administrative and legal systems. The collaborative strategy-making process, as discussed in the previous section, needs to be transformed into financial, administrative and legal systems (Healey, 2006). This section introduces the systems adopted for the SSDC.

The SSDC established detailed managerial rules for the SSDC in 2004 and revised them in 2005. The rules set out the process for consensus-building, including equality of access to relevant information; responsibility for ensuring that the voices of different interests were properly heard in practice; a commitment to report back to communities as representatives of civil society; and a commitment that resources would be provided to support enhancement of the quality of collaborative governance. Despite this, however, it was debatable whether the approach of the SSDC had legitimacy, because the SSDC was not a statutory body (Park and Hong, 2007; SSDC, 2006). So, the central government issued Presidential Decree No. 19886, the Conflict Prevention and Resolution Regulation for Public Institutions, in February 2008 and MLTM Directive No. 2008-43, the Management Regulation for the SSDC in the Si-hwa Area, in April 2008. These measures strengthened the position of the SSDC by giving it full legal status. One public corporation interviewee mentioned that the measures were also helpful in protecting government from criticism over any delays or procedural matters, since these were now officially the responsibility of SSDC.

Continuity of a Governance System

The regulations just mentioned contributed to ensuring the continuity of the SSDC. For example, MLTM Directive No. 2008-43 extended the time limit for the SSDC from 2008 to the completion of all Si-hwa development projects, which probably means until 2022. Additionally, it required all members of the SSDC to implement the agreement sincerely, with the aim of guaranteeing the formalisation and maintenance of consensus. However, despite these efforts, many people questioned the legitimacy of the outcomes of the SSDC, because they felt there had been a lack of resident participation. Thus, the Si-hwa case suggests that acquiring legitimacy from civil society requires resident participation as well as government support. Most interviewees agreed that a combination of resident participation and government support would ensure the continuity of a collaborative governance system.

7.4 Consequences of Collaborative Governance for Sustainable Development

This section examines how the characteristics of collaborative governance, explained above, contributed to implementing the principles of sustainable development, focusing on the Si-hwa projects. Most interviewees thought that sustainable development could be pursued through a collaborative governance framework, because consensus-building would bring together different points of view as stakeholders talked to each other. A central government interviewee said:

To my surprise, environmental NGOs differed in their views about the preservation of the environment: some were interested in the quality of water and tideland, while others concentrated just on migratory birds and plants. So, I realised that this conflict would be settled through dialogue between stakeholders. Some opponents wanted to resolve problems instead of merely fighting the government (interviewed on 13th April 2009).

7.4.1 Harmonisation of Conservation of the Environment with Development

Thirteen out of 16 interviewees confirmed that the SSDC contributed to environmental preservation in the Si-hwa area. A local government interviewee gave some examples: the creation of a large-scale habitat for migratory birds (3.71 sq km); and the conservation of a site where fossilized dinosaur eggs were found in Hwa-seong city (13.69 sq km). Most interviewees stated that the SSDC established ecological networks before setting up a land utilisation plan, acting on the principle of ‘first, conservation of the environment; and second, development’.

Figure 7.7 Migratory Birds in Lake Si-hwa (Source: Jong-in Choi)



Figure 7.8 The Fossilized Dinosaur Egg Site in Hwa-seong City (Source: www.gg.go.kr)



A public corporation interviewee said that the SSDC endeavoured to minimise the negative effects of development by safeguarding habitats and providing monitoring and feedback, in case development caused environmental disruption. In addition, the SSDC established its long-term vision of an ‘ecological tourist city’ through shared understanding between stakeholders. This vision concerned an eco-friendly and high-tech city designed according to the principles of sustainable development. Some local government interviewees argued that the SSDC went too far in preserving the environment, at the expense of opportunities for economic growth. An expert interviewee commented on the importance of getting a balance between them, saying:

The SSDC has given priority to ecology. It has taken measures to cope with the negative influence of development. But if we do not develop this area, the mud flats may be preserved, but it may be impossible to tackle the water and air pollution due to a lack of financial means (interviewed on 14th April 2009).

Challenges to Collaborative Governance

Despite these positive views, there were some complaints about the possibility of environmental degradation. For example, an NGO interviewee criticised the SSDC for

giving priority to the quality of people's lives rather than the preservation of the natural environment, despite many outcomes that favoured environmental improvement, saying:

The SSDC has been careless about environmental degradation resulting from development. The SSDC has tended to consider only people's lives, having no regard for ecological conservation. It should have developed measures to keep a balance between the two important values of the quality of people's lives and the conservation of the environment (interviewed on 17th April 2009).

In addition, this NGO interviewee was negative about the environmental outcomes of the SSDC, because he believed a lack of resident participation undermined the legitimacy of the environmental outcomes, despite the efforts of the environmental NGOs. Thus, the Si-hwa case suggested that the SSDC needed to involve residents and to encourage them to recognise the importance of the environment through education and training programmes.

With regard to the principles of sustainable development as applied to both urban and rural areas, interviewees said that the principles were the same everywhere, but there might be differences about how to implement them due to the characteristics of particular areas. The Si-hwa case suggests that the environment needs to be protected in both urban and rural areas, and to be linked to development in a sustainable way.

7.4.2 The Pursuit of Sustainable Economic Growth

Thirteen out of 16 interviewees gave positive answers about the prospects for sustainable economic growth in the Si-hwa area, commenting favourably on the long-

term vision of the area as an ‘ecological tourist city’. A public corporation interviewee said that the Si-hwa projects would contribute to creating employment, developing the regional economy and attracting foreign tourists. An NGO interviewee mentioned that the long-term vision would not only bring about economic growth, but also increase the competitiveness of the Si-hwa area by integrating various development plans for the three cities. Most interviewees stated that the Si-hwa area located near In-cheon international airport would become an ecological tourist centre for leisure and entertainment in Northeast Asia through the Si-hwa MTV project and the Song-san Green City project. In addition, some interviewees from local and central government and from the public corporation focused on the important role of experts in developing the long-term vision through a bottom-up process based on, but not limited by, the inevitably less expert views of local residents.

Figure 7.9 Swans and the Artificial Marsh at Lake Si-hwa – a Tourist Attraction

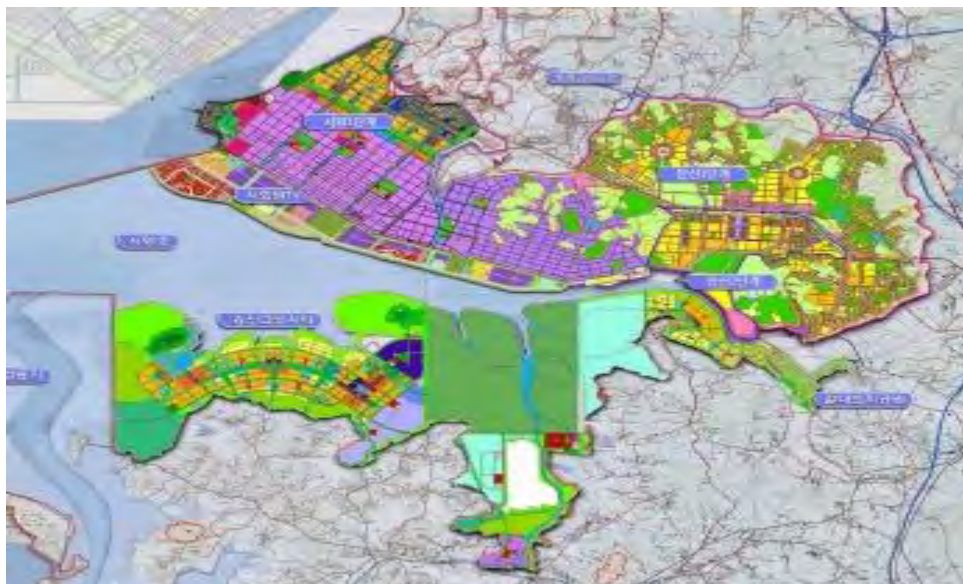


When it came to the economic effect of the Song-san Green City project, a local government interviewee estimated:

The effect on the economy will be to add 5.2 trillion won (£ 2.5 billion) per year in construction and 2.9 trillion won (£ 1.4 billion) in operation. In addition, employment will be created for 49,000 persons per year in construction and 58,000 in operation (written reply on 6 May 2009).

A public corporation interviewee said that the land utilisation plan of the Si-hwa area would contribute to providing the capital region with sites for nature conservation, leisure and entertainment and would compensate for a lack of residential areas in the existing Ban-wall and Si-hwa industrial complexes. A local government interviewee said that the efficiency of land use needed to be far greater than at present, considering the location of the Si-hwa area as a part of the capital region. Some interviewees who represented NGOs, local councillors, local governments and experts suggested that Gyeong-gi Province needed to integrate the development plan for the west coastal region into their long-term vision.

Figure 7.10 The Land Utilisation Plan for the Si-hwa Area



Challenges to Collaborative Governance

Despite these positive views, there was much criticism regarding possible environmental repercussions. Yum (2007) argued that the development of the Song-san Green City project would aggravate environmental problems, bringing traffic congestion and overpopulation in the capital region. In addition, an NGO interviewee stated that the Si-hwa MTV project would have a harmful effect on ecological networks and the water quality of Lake Si-hwa. However, one expert interviewee contradicted Yum's argument, stating that research had shown the influence of development to be trivial. Ryu (2007) also insisted that despite the development of the Si-hwa MTV project, some relevant research studies concluded that the quality of water and air would be improved through specific environmental improvement measures which involved an investment of 0.45 trillion won (£ 0.22 billion). Given this range of views, some interviewees from government and the public corporation stated that dealing with these specific issues required detailed discussion with experts from various fields. In addition, some interviewees from NGOs, experts and the public corporation focused on the importance of continuous monitoring and feedback in order to minimise air and water pollution.

7.4.3 Fulfilling the Need for Social Equity

Seven out of 16 interviewees were not satisfied that the project treated all stakeholders equally, particularly disadvantaged members of the population in the Si-hwa area. However, other interviewees stated that the SSDC endeavoured to reflect the needs of

all stakeholders, referring to evidence such as inclusive stakeholder involvement and the best possible consensus-building processes. Some interviewees representing experts, NGOs and central government stated that the SSDC contributed to social equity by giving compensation to residents for loss of property and improving facilities such as parks. One NGO interviewee illustrated some activities of the SSDC that enhanced social equity, saying:

The SSDC has endeavoured to contribute to social equity, for example, by establishing a residents' resettlement plan in the development of the Song-san Green City project and by supporting the improvement of the industrial structure in the Si-hwa MTV project. A residents' resettlement plan is being prepared for the disadvantaged. The improvement of the industrial structure will be helpful to those currently working in the Ban-wall and Si-hwa industrial complexes (interviewed on 15 April 2009).

Despite these positive views, some interviewees declared that the issue of social equity was the one they were least satisfied with, compared with their feelings about other principles of sustainable development. Some opponents from among NGOs and residents criticised the SSDC for not initially involving any representative of the residents, including the disadvantaged. Such criticism of a lack of resident involvement encouraged the SSDC to communicate with, and to reflect the opinion of, residents after 2008. For example, the SSDC responded to this criticism by setting up a residents' resettlement plan related to the Song-san Green City project. This was done by organising a task force, including representatives chosen by residents and other stakeholders. The task-force has been preparing various programmes for disadvantaged people living on an isolated island. This measure has had a positive influence on reaching agreement and implementing the principles of sustainable development.

Figure 7.11 Subcommittee Meeting to Discuss a Residents' Resettlement Plan



With regard to the residents' resettlement plan, however, a representative of the residents warned that satisfying the needs of current residents might not be good for the local community in the long term, saying:

It was very difficult for the SSDC to prepare satisfactory measures for residents, because they [the residents] were not interested in the residents' resettlement plan. They just wanted money. A few years ago, there was a case in this island in which a fisherman received 0.5 billion won (£ 0.25 million) in compensation for the loss of his property and then left the island and squandered his fortune in three years. After that, he returned here with no money (interviewed on 15th April 2009).

Challenges to Collaborative Governance

The SSDC began in 2008 to involve residents as members of some SSDC task forces. This contributed to strengthening communication between the SSDC and residents. However, this change was not enough to satisfy residents, particularly the disadvantaged. With regard to this, one local councillor interviewee suggested that the SSDC needed to involve representatives from the disadvantaged as well as the

representatives of other residents. He believed that the representatives chosen by residents might not include the disadvantaged, because the disadvantaged had a small voice compared with that of other powerful residents. This suggestion is similar to that offered by a research study⁴⁸ conducted by Guangzhou municipal government in China.

One local government official focused on the role of central government, saying:

The SSDC could only discuss issues within the framework of the present law. The outcomes of the SSDC could not go against the law or the regulations. Thus, central government needs to cope with social equity issues through institutional measures, in order to overcome these limitations (interviewed on 16 April 2009).

He suggested that when the SSDC decided on a reasonable standard for the disadvantaged with regard to some specific issues, central government needed to review whether it could reflect this decision within present law, or whether it needed to modify present law to ensure delivery in the long-term. That is, central government needed to take wider measures to address the problems of the disadvantaged.

When it came to the MTV project on the existing industrial complexes, one local government interviewee focused on the necessity for publicity and feedback to residents in order to strengthen communication between stakeholders. This was because he thought that some residents including those currently working in the industrial complexes were not aware of the positive effects of the MTV project, such as stable employment levels and a better working environment.

⁴⁸ The study indicated that involving more representatives from the disadvantaged in the national political structure would contribute to preventing conflicts and contradictions that currently arose because the disadvantaged had insufficient channels through which to express their needs compared with other stakeholders (China.org.cn, 2008).

7.4.4 Improving the Quality of Life

Fifteen out of 16 interviewees stated that the SSDC contributed greatly to enhancing the quality of residents' living environment, for example by investing profits from the Si-hwa project in improving the quality of air and water. The SSDC decided to investigate⁴⁹ nearly 2,000 companies which might discharge offensive odour into the Ban-wall and Si-hwa industrial complexes, and it did this with the participation of residents between 2004 and 2008 (Kil *et al.*, 2006). A local government interviewee stated that the SSDC also had improved the quality of water, lessening the Chemical Oxygen Demand (COD) from 1,970 ppm⁵⁰ in 2004 to 17 ppm in 2007. An NGO interviewee confirmed that the SSDC minimised air and water pollution by continuous monitoring and feedback.

Figure 7.12 The Facilities for Improving Air Quality in the Si-hwa Area



⁴⁹ This investigation led to a five-year plan by Gyeong-gi province for removing offensive odour. This plan resulted in better outcomes: for example, Acetaldehyde (air pollutant), decreased from 25 ppb in 2006 to 4.68 ppb in 2007 and the number of civil appeals decreased from 672 in 2006 to 282 in 2008 (Seoul News, 2009b).

⁵⁰ Ppm (parts per million) and ppb (parts per billion) are used to measure levels of pollutants.

Figure 7.13 The Improvement of Water Quality (Before and After)



In addition, the Si-hwa case suggested that the long-term vision of an ‘ecological tourist city’ contributed to improvement of the quality of life. An NGO interviewee stated that the Si-hwa MTV project would enhance the quality of life by developing the coastal culture and environment and improving the industrial structure of the Si-hwa area. A local government interviewee also mentioned that the Song-san Green City project had introduced a better living environment, for example with a lower density of population, a green network, a coastal park and a green transport plan. An NGO interviewee mentioned that the SSDC had contributed to changing the cities’ image, saying:

The existing image of the Si-hwa area as industrial complexes is being replaced by a new image of an ecological tourist city, due to the improvement of the quality of air and water (interviewed on 14th April 2009).

Challenges to Collaborative Governance

An NGO interviewee argued that the development of the MTV project might affect the quality of current workers’ lives through the loss of jobs at the existing industrial complexes. However, another NGO interviewee suggested that the improvement of the

industrial structure through the Si-hwa MTV project would be helpful to the existing industrial complexes, because it could encourage a high quality of technology and a large capital investment, bringing positive effects such as stable employment levels, good wages and excellent working conditions. He believed that, without the long-term vision of the MTV project, the existing industrial complexes would decline gradually due to a lack of technology and capital.

However, most interviewees argued that enhancing the quality of life required the participation of residents and experts, both of whom could provide practical information and knowledge related to their lives. A representative of residents suggested that strengthening publicity and education for residents would contribute to enhancing the quality of life.

Furthermore, some interviewees from NGOs and local governments suggested that an ecological cultural campaign would contribute to enhancing the quality of life. A local government interviewee thought that a centre or a foundation would play an important role in driving such a campaign and linking it to the existing plans of local governments for enhancing the quality of life. An NGO interviewee described what the role of an ecological cultural foundation might be. As an independent organisation, it could carry out research, provide training, run cultural campaigns, and monitor and publicise the Si-hwa project. This work could continue after all the projects had been completed, suggesting that the foundation would contribute to the stability and continuity of what had been achieved.

7.4.5 The Enhancement of Participatory Democracy

Thirteen out of 16 interviewees gave positive views of the enhancement of participatory democracy achieved, despite the time and effort involved. They stated that the SSDC had encouraged various stakeholders to participate in discussions and reach agreement on specific issues through a bottom-up process. In particular, one NGO interviewee placed a high value on the consensus-building process of the SSDC, saying:

A consensus-building procedure is the core of participatory democracy. The aim of a citizens' campaign is to inspire civic consciousness in the hearts of citizens. This needed to be examined through a practical procedure of public involvement (interviewed on 14th April 2009).

However, there were criticisms of the limitations of participatory democracy. A public corporation interviewee stated that a consensus-building process took too much time and effort. In addition, an expert interviewee mentioned that the SSDC did not sufficiently reflect the opinions of residents. An environmental NGO interviewee also emphasised the need for direct communication between project performers and residents in obtaining practical knowledge. An expert interviewee suggested that the SSDC needed to harmonise representative and participatory democracy, saying:

The SSDC did not fully reflect the opinions of residents. We needed the combination of representative democracy and participatory democracy. We needed to use education and training programmes and online internet strategy for enhancing participatory democracy (interviewed on 17th April 2009).

From 2008, the SSDC included some residents and increased the number of local councillors. All interviewees gave positive views about this change, seeing it as complementary cooperation. For example, local councillors played an important role in

ensuring financial, administrative and legal support, while resident involvement provided legitimacy and practical knowledge.

Challenges to Collaborative Governance

Despite these efforts, some local councillors, experts and NGOs who were interviewed criticised the SSDC for not communicating with residents and not reflecting residents' opinions. In addition, they were concerned that some powerful actors might control the SSDC and exclude other stakeholders, particularly residents. Some local government, NGO and expert interviewees suggested that the SSDC needed to replace its members periodically and to involve more new members chosen from residents, its NGO opponents and experts. A local government interviewee also recommended involving the members of a 'residents' autonomy committee'⁵¹ as representatives of residents. In addition, some NGO and expert interviewees suggested that the SSDC needed to strengthen publicity, education, monitoring and feedback for residents, because this was the key to gaining legitimacy for the outcomes of SSDC activities.

7.4.6 The Establishment and Implementation of a Long-term Vision

Thirteen out of 16 interviewees were satisfied with the efforts to establish and implement a long-term vision through the Si-hwa projects. Most emphasised the need for a vision which integrated the three cities of the Si-hwa area through a bottom-up process, with the support of experts and NGOs from various fields. Most interviewees

⁵¹ See Section 8.3.2.

stated that the SSDC had succeeded in establishing a consensus on the long-term vision for an 'ecological tourist city' which included a wide range of themes such as transport, culture and public welfare. The Si-hwa MTV project and the Song-san Green City project had pursued the goal of an eco-friendly and high-tech city linking conservation and development in terms of this long-term vision (MOCT, 2007a). An NGO interviewee stressed the importance of the long-term vision, saying:

I have participated in the SSDC simply in order to establish a long-term vision for the Si-hwa area. The MTV project and the Song-san Green City project were the future for this region. We integrated the development plans of the three cities of Si-heung, An-san and Hwa-seong (interviewed on 15 April 2009).

Another NGO interviewee stated that a long-term vision strengthened the competitiveness of the region. Park (2007) agreed with this, focusing on the importance of the comprehensive plan, which dealt with various subjects such as urban development and ecological conservation.

Challenges to Collaborative Governance

The SSDC produced many successful outcomes in terms of the long-term vision for the area. However, it was criticised for a lack of legitimacy derived from civil society, because until quite recently residents did not participate in its work. Thus, the Si-hwa case suggests that residents need to participate in establishing and implementing a long-term vision. It also indicates that the participation of residents requires the support of experts and NGOs to enhance their expertise and participatory skills.

However, resident participation cannot ensure that a plan will be implemented well. This needs financial, administrative and legal support. The Si-hwa case suggests that implementing a long-term strategy requires the support of government. A local government interviewee focused on the role of central government in relation to legal limitations. Some NGO, local council, local government and expert interviewees stated that regional government has an important role to play in promoting a long-term regional vision through cooperation with local governments. In addition, some expert, NGO and resident interviewees suggested that local governments needed to cooperate with each other in order to promote local visions and to implement them effectively.

7.5 Conclusion

This chapter has identified the characteristics of collaborative governance through the Si-hwa case study. It has shown that collaborative governance can contribute to implementing the principles of sustainable development in the field of conflict mediation in urban planning in South Korea. In addition, the chapter has shown that the elements of collaborative governance have evolved towards sustainable development, compensating for initial weaknesses in the collaborative governance process. However, this evolution required the maintenance of a collaborative governance system which drew particularly on the participation of residents and the financial, administrative and legal support of government.

Several authors conclude that the challenge of sustainable development is to integrate the three perspectives of environment, economy and equity (Wheeler, 2004; Jepson,

2001; McDonald, 1996; Lang, 1995; Munro, 1994). Most interviewees mentioned that collaborative governance contributed to integrating diverse perspectives as well as tackling conflicts, despite some criticisms, for example concerning the relatively costly nature of the process in terms of time and money. However, the Si-hwa project is a rare case which shows the characteristics of collaborative governance among national projects in South Korea. Not many projects⁵² have endeavoured to sustain this level of dialogue and interaction between various stakeholders over several years. Thus, the activities of the SSDC can set an excellent example to other projects. The next chapter deals with the field of collaborative policy-making through the community-improvement projects in Buk-Gu in South Korea.

⁵² See Section 5.4.1.

CHAPTER 8

THE CASE STUDY IN BUK-GU

8.1 Introduction

This chapter examines the relationship between sustainable development and collaborative governance in the field of collaborative policy-making in a community-improvement⁵³ project in South Korea. The chapter looks at a group of community-improvement projects for Mun-hwa Dong in Buk-Gu⁵⁴ (henceforth referred to as ‘the Mun-hwa Dong projects’). The Mun-hwa Dong projects have grown in scale, as more actors, such as governments, have become involved in them (Suh and Lee, 2008).

In the Mun-hwa Dong projects, the residents’ autonomy committee (henceforth referred to as ‘the residents’ committee’) has played a significant role in initiating and implementing the projects with the support of local government and experts⁵⁵ since 1999. This chapter mainly explores the characteristics of collaborative governance in the Mun-hwa Dong projects, and then examines the contribution of collaborative governance to implementing the principles of sustainable development.

⁵³ This is called a ‘maul-making project’ in South Korea. However, the thesis uses the term ‘community-improvement project’, because this project aims to improve the community living environment.

⁵⁴ The term *gu* means an administrative district which consists of several *dongs*. See Section 5.3.2.

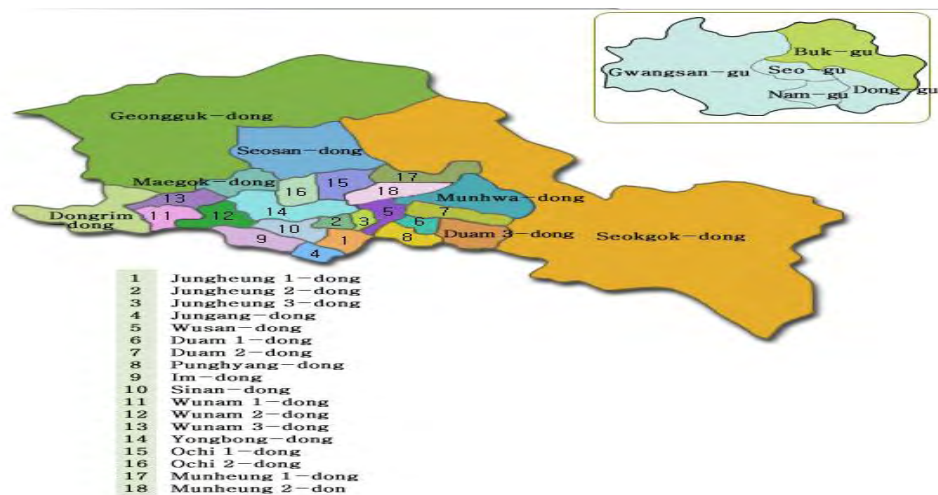
⁵⁵ For a definition of the concept of expert, see Section 7.2.4.

8.2 The Context of the Community-Improvement Project in Buk-Gu

8.2.1 An Outline of Buk-Gu

Buk-Gu is located in the centre of South Korea's southwest region. It is one of the five *gus* of Gwang-ju Metropolitan City, a city which is known as a centre for culture and arts. Buk-Gu is famous for the Gwang-ju Biennale which has celebrated arts and culture through a variety of performances from many foreign countries since 1995. Buk-Gu covers 121.74 sq km and consists of several *dongs*, as shown in Figure 8.1 (MOPAS, 2010). Its population, which was 466,000 as of January 2008, is more than twice as large as the average population of a *gu*, which is 209,942. The area and population of Mun-hwa Dong are 3.17 sq km and 18,004 citizens respectively. The head of the Buk-Gu District Office (BDO) and the local councillors have been elected by residents since 1995, while the heads of *dongs* are appointed by the head of the BDO. The members of the residents' committee are selected by the head of the *dong*.

Figure 8.1 The *Dongs* of Buk-Gu and the *Gus* of Gwang-ju City (Source: bukgu.Gwang-ju.kr)



8.2.2 The Characteristics of the Community-Improvement Projects in Buk-Gu

The origin of the ‘community-improvement project’ is the Japanese *Machizukuri*, which is an approach that has been adopted in some other countries such as the USA and South Korea (Lee, 2007). What is meant by ‘the community’ in this context is ambiguous, even though ‘community’ is defined as ‘a village’ or ‘a town’ in most Korean dictionaries. In practice, in South Korea, a community is considered to be a place where residents interact with each other within the boundary of a *dong*. Improvement projects for such communities were initiated by residents and NGOs at the end of the 1990s in South Korea, to improve the living environment of communities. Through its community-improvement projects, Buk-Gu aimed to promote the local living environment, to foster community leadership, and to establish a community based on residents’ autonomy (PCBND, 2007).

An analysis of 45 community-improvement projects in South Korea showed that the area occupied by a community was usually between 0.2 and 8 sq km. The main actors were mostly of three kinds (KRIHS, 2008b): a residents’ autonomy committee (in 29% of cases); a joint council (56%); and NGOs and community organisations (15%). The main actor at the start of the projects in Buk-Gu was the residents’ autonomy committees⁵⁶. For example, the residents’ committees of Buk-Gu completed 223 projects between 2000 and 2009, taking the initiative in conducting these projects (Yonhapnews, 2010; PCBND, 2007). The community-improvement projects mainly

⁵⁶ The residents’ autonomy committees were organised for the first time in South Korea in 1999.

used collaborative approaches: for example, with a residents' committee establishing a network drawing on experts and community organisations.

The procedure for the community-improvement projects in Buk-Gu was as follows (Yang *et al.*, 2007): every year from 2000 on, the BDO established a support plan for the projects; then various residents' committees in Buk-Gu collected residents' opinions and drew up draft proposals with the support of experts; the residents' committees submitted their drafts to the BDO; the community-improvement committee of Buk-Gu selected some projects which would get financial and administrative support; and then the residents' committees became responsible for the organisation and resources necessary to carry out their plans .

On average, 26 projects were chosen every year from 2000 on, but since 2006, the financial support of the local government has been concentrated on fewer than 10 projects a year. As the projects continued to produce successful outcomes, more actors began to participate in them. However, there is evidence of practical problems in project implementation. Kim (2008) criticises some projects for the authoritarian role taken by the government, and points to distrust between stakeholders and government-driven residents' organisations. To counter these problems, some scholars (Shin and Shin, 2008; Kim *et al.*, 2006) suggest that residents' participation and a long-term vision should be encouraged through a bottom-up process.

8.2.3 The Change from Government-Driven to Governance-Driven

When it comes to the community-improvement project, the history of Buk-Gu in the latter half of the 20th century can be classified into three periods: government-driven; resident-driven; and governance-driven. Appendix D provides a detailed chronological table of the Buk-Gu case between 1970 and 2009. The first period, between 1970 and 1998, may be called the government-driven period (Suh and Lee, 2008; Lee, 2004). During this period, government was the main leader in policy-making for, and implementation of, urban planning, even though, in the 1990s, some NGOs began to participate, particularly focusing on environmental and social issues (Suh and Lee, 2008; Lee, 2007; Jeong, 2007a; Lee, 2005). For example, in the 1980s, the redevelopment of the slums was led by central government through a top-down process. In 1995, the first local autonomy⁵⁷ era began with the election of heads of local government by citizens (Park, 2004). However, this change was not enough to satisfy demands for political, administrative and financial decentralisation (ibid). This was the situation in which the Buk-Gu District Office (BDO) functioned during the period.

The second period, between 1999 and 2003, may be called the resident-driven period. From 1999, when the second stage of local autonomy had just began, the devolution⁵⁸ of central government's functions to local government encouraged local governments to develop their local economy (Ha and So, 2007). Local governments encouraged residents to participate in local autonomy by carrying out significant structural reforms

⁵⁷ Citizen-elected local councils were established in 1991 and the heads of local government in South Korea have been elected by citizens since 1995 (Park, 2004).

⁵⁸ In this devolution, between 1999 and 2007, 1,400 matters previously dealt with by central government were transferred to local government. However, the reform was criticised for its ineffectiveness due to a lack of public involvement (Ha and So, 2007; Moon and Kim, 2006; Park, 2001).

(Suh and Lee, 2008; Lee, 2006; Lee, 2004): every *dong* office was changed into a 'residents' autonomy centre' which had an increased number of functions to make life and leisure easier for residents; and at the same time a 'residents' autonomy committee' was established in every *dong*. However, despite the effort involved, these sudden reforms had many limitations, such as a lack of public involvement. This might be because they were imposed, rather than being worked out in consultation with residents. Some local governments maintained a top-down process, which led to opposition from NGOs and residents (Lee, 2004). However, the experience of Buk-Gu was different (Suh and Lee, 2008; Lee *et al.*, 2007; Yang *et al.*, 2007; Kim *et al.*, 2004; Lee, 2004): residents' autonomy committees were fully involved in preparing and implementing the community-improvement projects; the BDO encouraged residents to participate by providing a support plan and support teams; and various experts and NGOs helped residents by providing professional knowledge and training them in participatory skills.

The last period, from 2004 to date, may be called the governance-driven period. The Mun-hwa Dong projects were quite different from other projects in Buk-Gu and other cities (KRIHS, 2008a; Yang *et al.*, 2007; Lee, 2004). For example, the Mun-hwa Dong projects involved various stakeholders such as residents, governments, NGOs and experts; they received financial, administrative and legal support from central, regional and local governments; and residents developed their institutional capacity through direct and indirect participation and specific education and training programmes. Of the 26 *dongs* of Buk-Gu, Mun-hwa Dong has produced excellent outcomes through projects over a relatively long period of ten years. The next section introduces the Mun-hwa Dong projects in detail.

8.2.4 The Community-Improvement Projects of Mun-hwa Dong











The Mun-hwa Dong projects were initiated by the residents' committee in 2000 with the support of local government and experts. Mun-hwa Dong has succeeded in creating better outcomes through collaborative processes which have involved more stakeholders. Figure 8.2 illustrates some examples of the projects. The success of Mun-hwa Dong has spread to other areas in Buk-Gu. For example, the community-improvement project of Dong-lim Dong in Buk-Gu was chosen by the MLTM in 2009 as a pilot liveable community project (City Portal, 2010). In 2002, the residents' committee of Mun-hwa Dong put forward the idea of a 'cultural community with poems and pictures' to be developed in cooperation with other stakeholders, and they set out to implement the idea through the participation of residents and the support of government. The Korean character *mun-hwa* means 'culture' in English. Gwang-ju Metropolitan City aims to be a cultural hub for Asia. Thus, Mun-hwa Dong had little difficulty in selecting culture as its long-term aim.

An Evolution from 'Community-Improvement Project' to 'Liveable City Project'

Since 2006, as community-improvement projects have achieved successful outcomes, some central government ministries have suggested pilot projects⁵⁹. In 2007 the residents' committee of Mun-hwa Dong applied for the pilot projects funded by the MOCT (since 2008, the MLTM) and won the first prize of 200 million won (£ 100,000).

⁵⁹ For example, the Making a Liveable Community and Liveable City projects of the MOCT (now, the MLTM); the Making a Liveable Rural Area projects of the MOA; the Making a Liveable Community projects of the MOGAHA; and the Making a Liveable Island projects of the MOMAF and the MOCST.

Figure 8.2 Some Examples of the Mun-hwa Dong Projects (Source: Residents' Committee)

Year	Community-Improvement Projects	Year	Community-Improvement Projects
2000	 Small parks	2001	 Art emblem for community harmony
2002	 Poems and pictures on the wall	2003	 Pedestrian-friendly streets and resting places
2004	 Poems and pictures on the wall	2005	 Poems and pictures on the wall
2006	 Tiles with Oriental paintings	2007	 A water fountain
2008	 Individual doorplates	2009	 Cultural community with poems and pictures

In addition, in 2008, the Mun-hwa Dong project, the Creation of Roads for Cultural Communication, was selected as one of the pilot liveable city projects of the MLTM, which entailed 1.3 billion won (£ 0.65 million). The pilot liveable city project was similar to the community-improvement project, in that it was based on the participation of residents and the support of government, despite some distinctions as shown in Table 8.1. Mun-hwa Dong has adapted itself successfully to a new environment, harmonising community-improvement projects with liveable city projects.

Table 8.1 The Comparison Between the Community-Improvement and the Liveable City Projects

Key Features	Community-Improvement Project	Liveable City Project
1. Main Actor	Residents (with the Support of Local Govt)	Local Government (with the Support of Residents)
2. Population	18,004 persons (Mun-hwa Dong)	463,333 persons (Buk-Gu)
3. Scale	<i>dong</i> (town) Small Size (3.17 sq km)	<i>gu</i> (a kind of borough) Large Size (121 sq km)
4. Average Budget (won)	3 million (£ 1,500) (Local Govt) 150 million (£ 75,000) (Central Govt)	1.8 billion (£ 0.9 million) (Central Govt)
5. Applicant	Residents' Autonomy Committee (Local Government since 2009)	Local Government (with the Residents' Participation)
6. Time Frame	1999-2009	2007-2009

The Mun-hwa Dong projects were influenced by the pilot projects that the MOCT initiated in 2007. The pilot projects were classified into two kinds (MOCT, 2007c): at the town level, a pilot liveable community project, with a small budget, in which the residents took the initiative in establishing and implementing a plan with the support of

NGOs, experts and local government; and on a larger scale, a pilot liveable city project, with a large budget, in which the local government took the lead in setting up a specialised development plan and implementing it with the support of other stakeholders, particularly residents. These pilot projects were influential in deciding the financial scale of projects: there was a big difference between 3 million won (£ 1,500) for a community-improvement project and 1.3 billion won (£ 0.65 million) for a liveable city project in Mun-hwa Dong.

Table 8.2 The Number of the Pilot Projects Funded by the MOCT (now, the MLTM)

Division	2007	2008	2009	Financial Support (Billion Won)
Total Number of Pilot City Projects	5	6	7	1.8 (£ 0.9 million)
Total Number of Pilot Community Projects	25	20	16	0.15 (£ 75,000)

Mun-hwa Dong also succeeded in obtaining 20 billion won (£ 10 million) from Gwang-ju Metropolitan City for work on the harmonisation of its resident-driven long-term vision with the urban planning system. This success was attributed to the support of the residents' committee and other stakeholders. For example, the Committee for Making a Cultural Community with Poems and Pictures (CCCCP) has played an important role in strengthening expertise and establishing wider networks with various stakeholders such as governments since 2006 (Song *et al*, 2008; Suh and Lee, 2008). For most of the time, it consisted of 16 members, including various experts and a few residents' committee members.

8.3 The Features of Collaborative Governance in the Buk-Gu Case

The Buk-Gu case is presented as an example of collaborative governance, which several authors (Durose and Rummery, 2006; Huxham, 2000; Kooiman and Vliet, 1993) have seen as a major trend in contemporary society. The next section examines the features of collaborative governance, focusing on the Mun-hwa Dong projects in Buk-Gu.

8.3.1 Inclusive Stakeholder Involvement: from Residents to Governance

The Residents' Committee and the CCCPP

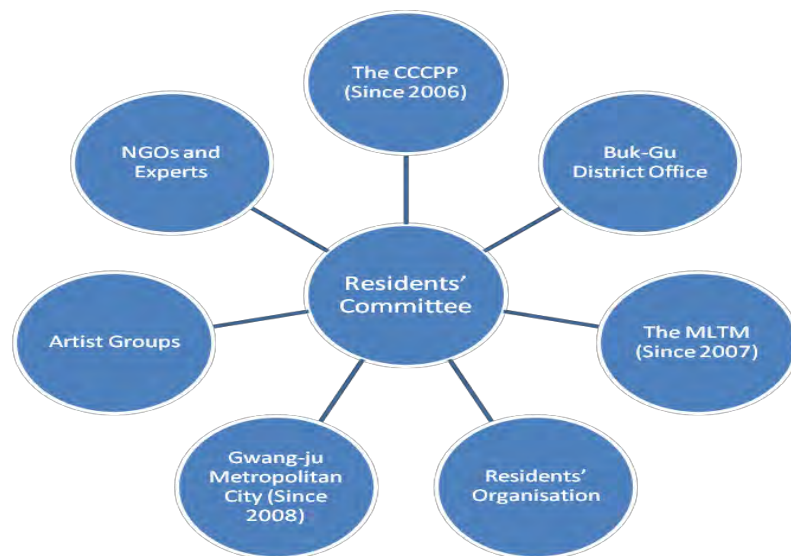
The Mun-hwa Dong projects were initiated by the residents' committee with the support of both local government and experts, while some other projects⁶⁰ were started by just residents or NGO members (Lee *et al.*, 2009; PCBND, 2007; Lee, 2004). Most of those interviewed for this research in Buk-Gu confirmed that the residents' committee played an important role in collecting the opinions of residents, drawing up draft proposals, implementing proposals once they had been approved, and reporting their work to other residents. This was despite the fact that some scholars doubted whether a residents' committee whose members were appointed by the head of the *dong* could reflect the opinions of the residents as a whole (KRIHS, 2008b; Lee, 2006). As the Mun-hwa Dong projects have progressed, more actors such as central and regional governments have become involved in them (Suh and Lee, 2008; Lee *et al.*, 2007). Most interviewees mentioned that the Mun-hwa Dong projects were led jointly by the residents' committee

⁶⁰ For example, the Sam-duk Dong project in Dae-gu Metropolitan City was started by just one NGO.

and the CCCPP. Under this arrangement, the CCCPP was able to compensate for any lack of network of support and lack of expertise in the residents' committee, since the CCCPP had members with experience of liaising with governments and with professional knowledge about the long-term vision for a 'cultural community with poems and pictures'. The CCCPP helped the residents' committee implement a long-term vision. An expert interviewee focused on the interdependence of these two, saying:

The CCCPP played an important role in helping to put the opinions of the residents into practice through cooperation with the governments. The success of the Mun-hwa Dong projects was attributed to the cooperation between the residents' committee and the CCCPP (interviewed on 24th April 2009).

Figure 8.3 The Inclusive Stakeholder Involvement in Mun-hwa Dong



The Need for the Participation of the Disadvantaged and Community Organisations

Despite inclusive stakeholder involvement, some scholars argued that the Mun-hwa Dong projects needed the participation of the disadvantaged and of various community organisations, such as the apartment residents' association (Song *et al*, 2008; Kim *et al*,

2004). Their involvement might not only minimise potential conflict by balancing the power relationship in networks, but also create better outcomes by providing more practical knowledge. Some interviewees from the NGOs and local government stated that the disadvantaged⁶¹, for example, some of whom lived in permanent public rental housing⁶², had not been involved in the Mun-hwa Dong project until 2008, due to their own lack of time and other stakeholders' indifference. However, the absence of these people caused a conflict between the residents' committee and the disadvantaged. As a result, some members of the residents' committee and experts began to communicate with the disadvantaged, and have continued to do so since 2009⁶³.

One interviewee from the NGOs suggested that more resident organisations with a broader vision needed to be set up, because some residents' committees might lack communication with some residents, such as the disadvantaged. Some interviewees from the governments, experts and NGOs suggested that NGO members and experts from various fields could play an important role in preventing a public involvement that was merely nominal, and encouraging more residents to participate in the projects. For example, a local government interviewee stated that if the CCCPP involved environmental NGO members, this might result in more outcomes that could benefit the environment. Furthermore, several scholars have focused on the importance of the

⁶¹ The disadvantaged are also residents. However, there is a big gap between high-income earners and low-income ones, because of a significant income disparity in South Korea (Seoul News, 2009a). The thesis distinguishes the economically and socially disadvantaged from other residents. See Section 3.4.1.

⁶² The stock of permanent rental housing in South Korea is 0.19 million units, which is for lower-income households in urban areas. A month's rent is just 50 thousand won (£25), and there is a deposit of three million won (£1,500). However, there has been social bias against the disadvantaged which has caused conflict between lower-income and middle-income households. Despite this problem, the disadvantaged prefer permanent rental housing, because the rent is cheap (Ha, 2008).

⁶³ See the interviews with an expert and a resident in Section 8.4.3.

resident-driven joint organisation⁶⁴, because this organisation may ensure the stability and continuity of a governance system, even if the government's support is suspended due to a budgetary deficit (Shin and Shin, 2008; Suh *et al.*, 2008; Lee *et al.*, 2007; Song, 2006; Park and Hwang, 2006).

8.3.2 The Promotion and Spread of Institutional Capacity through Participation

Institutional Capacity of Residents and Government

Most interviewees commented on the importance of institutional capacity, which can encourage stakeholders to build up trust and to implement a long-term vision through dialogue and interaction. One representative of the residents warned that if there was little institutional capacity among residents, government might take the initiative in carrying out the projects. Even if, in the case of some projects, government initiative produced excellent outcomes, the success of subsequent projects might be dependent on the quality of the institutional capacity of stakeholders.

Among other stakeholders, a local government interviewee said the success of the Mun-hwa Dong projects was a result of the high institutional capacity of the residents' committee, which had encouraged residents to participate in the projects, to build up trust and to create successful outcomes. Because of this, the beneficial effects of projects over a ten-year period had made the residents more enthusiastic about new projects and had improved their institutional capacity. An NGO interviewee said that

⁶⁴ This means an informal network of residents' organisations, experts, NGOs and government, where residents take the initiative in conducting projects with the support of others.

even though the institutional capacity of the residents' committee was not high at the beginning of the project, it had been dramatically increased through the experience of the projects. The Mun-hwa Dong projects had continued to produce better outcomes, irrespective of financial support: for example, they had carried out small scale projects, such as making special doorplates for residents, when there was no financial support from central government, whilst larger scale projects they had carried out included the liveable city project, which the MLTM supported with 1.3 billion won (£ 0.65 million).

The following is an illustration of the institutional capacity of the residents' committee. In 2009, the MLTM, on grounds of 'effectiveness', changed the applicant for a pilot liveable community project from the residents to the head of the local government (MLTM, 2008b). However, most interviewees said that the residents' committee had still taken the initiative in drawing up draft applications for this project, which the local government had welcomed, because the local government had wanted to obtain practical ideas and legitimacy from civil society. This example suggests that the local government and the residents had worked well together, and that the application had been the result of a joint effort by both of them.

However, some authors (Hwang *et al.*, 2008; Park and Hwang, 2006; BDO, 2006) have stressed the importance of the institutional capacity of government as well as that of residents. Most interviewees mentioned that the local government endeavoured to encourage more stakeholders to participate in the projects by providing financial, administrative and legal support. In addition, some interviewees from the NGOs, experts and local government suggested that enhancing the institutional capacity of

residents required various measures, for example: the direct, indirect and financial participation of residents; continuous education and training programmes such as a city academy⁶⁵, workshops, symposiums and forums; and various institutional arrangements such as a support team and a support centre, with an ordinance to back these up. Most interviewees pointed out that implementing these measures is closely related to high institutional capacity in government.

Harmonising the Projects with Urban Regeneration Schemes

When discussing the relationship between community-improvement projects and urban regeneration schemes, most interviewees mentioned the importance of the institutional capacity of residents. Urban regeneration schemes mostly contradicted the outcomes of the community-improvement projects. However, some cases showed that residents with high institutional capacity succeeded in tackling serious conflicts of this kind through dialogue and interaction. One NGO interviewee gave the example of the Theme Street of Bu-cheon City where the residents' organisation and the local government reached agreement on a change of the urban regeneration scheme through dialogue and interaction. The original regeneration scheme involved a road construction project which might have destroyed the outcomes reached by the community-improvement projects. The residents' organisation encouraged residents to defend their Theme Street

⁶⁵ City academies have been operated in four regions (including the capital region) by the MLTM since 2008. For example, in 2009, 160 participants, such as residents, NGO members, experts, government officials and staff of the public corporations, participated in a city academy for a period of eight weeks in order to identify current issues in their regions and to create a long-term regional vision. The education and training programmes consist of various procedures such as field survey, analysis of the current situation, establishment of a master plan, detailed design, modelling, and exploration of advanced cases (MLTM, 2009d; City Portal, 2010).

through various efforts⁶⁶, and these resulted in the harmonising of the community-improvement project with the urban regeneration scheme.

The experience of Mun-hwa Dong suggests that community-improvement projects could be harmonised with the urban regeneration scheme through the high institutional capacity of stakeholders and a long-term regional vision. An expert interviewee focused on the importance of a long-term regional strategy, saying:

We endeavoured to harmonise the urban regeneration schemes with the community-improvement projects, explaining a long-term regional vision to the managers of the urban regeneration schemes. We deliberated on several issues, such as the establishment of a waterway, the creation of a park and the demolition of soundproofing walls. This effort resulted in successful outcomes (interviewed on 24th April 2009).

8.3.3 Collaborative Leadership of all Stakeholders

Collaborative Leadership of the Residents' Committee and the CCCPP

The community-improvement project required collaborative leadership based on interdependence between stakeholders (KRIHS, 2007). Many scholars (Suh and Lee, 2008; Yang *et al.*, 2007; Lee, 2004) have stated that the residents' committee of Mun-hwa Dong encouraged collaborative leadership by cooperating with experts and the

⁶⁶ The residents' organisation, based on community gatherings such as a mothers' reading group, collected ideas through forums and social gatherings. It strengthened publicity and conducted a signature-collecting campaign against the local government's policy, and then it had a regular dialogue with the head of the local government (Kang, 2004). These efforts resulted in the cancellation of road construction by the local government, preserving the Theme Street. This street has been preserved and continues to be preserved by the residents, even though there have been several new town projects proposed by the local government.

local government. The head of the residents' committee was concurrently the chairperson of the CCCPP. He endeavoured to develop a good relationship between the residents' committee and the CCCPP. The two committees recognised their interdependence and what could be gained from mutual cooperation.

A local government official stressed the role of community leaders, especially in collecting the opinions of residents and encouraging them to participate in the projects through regular contact. For example, an expert community leader of Mun-hwa Dong operated a centre which he financed himself for publicity and the education of residents, government officials and visitors from other communities. An expert interviewee focused on the leadership role of community leaders, and the way they exercised their commitment to the region. An NGO interviewee said that an enthusiastic community leader and an ambitious government official together could cope with all the problems of the projects. Some interviewees from the experts, governments and the Korea National Housing Corporation (now, the Korea Land and Housing Corporation)⁶⁷ suggested that people with leadership potential should be identified and trained, to ensure the community was never short of such commitment and skills.

Collaborative Leadership of all Stakeholders

Some interviewees from the NGOs, experts and residents mentioned that the success of the Mun-hwa Dong projects was due to the collaborative leadership of all stakeholders. Along with the leadership of the residents' committee and the CCCPP, leadership of

⁶⁷ The Korea Land and Housing Corporation (LH) was established in October 2009 by combining the Korea National Housing Corporation (KNHC) and the Korea Land Corporation (KLC). Hereafter in this chapter, this is referred as 'the public corporation'.

other stakeholders such as the central, regional and local governments was also important: for example, one NGO interviewee mentioned that the financial, administrative and legal support of the governments had enabled residents to be more involved in the projects. The support of the head of the local government had a significant influence on whether projects would succeed or fail. The head of the Buk-Gu District Office (BDO) had decided to establish a support team and a support centre, with an ordinance to back them up, and these had contributed greatly to the continuing success of the projects (Yang *et al.*, 2007; Lee, 2004). However, an NGO interviewee considered that there might be some harmful effects from the involvement of local government, for example, where support for successful or proposed projects was used as a means of gaining electoral advantage.

8.3.4 The Role of Government and Resident Participation

The Role of Government as a Facilitator

Several authors (Jeong, 2007b; Song, 2006; Lee, 2004; Kim *et al.*, 2004) stated that government played a significant role as a facilitator, even though one expert interviewee said that the outcome of the community-improvement project depended totally on the quality of resident participation. There is a wide difference between the ‘community-improvement’ projects of the 2000s and the ‘new community movement’ of the 1970s in South Korea, in that the former have benefitted from a bottom-up process involving residents, while the latter was based on a top-down approach by central government

(Lee, 2004). The chairperson of the residents' committee of Mun-hwa Dong focused on the cooperation between local government and residents, saying:

The community-improvement project needed cooperation between the residents and local government. The residents' committee endeavoured to reflect the opinions of residents and to cooperate with the local government in order to produce better outcomes (interviewed on 24th April 2009).

Most interviewees stated that the MLTM had introduced a bottom-up process, encouraging resident participation and initiating several pilot projects, with financial support, since 2007. A public corporation interviewee stated that the MLTM had had a positive influence on involving local government and residents through these pilot projects (MLTM, 2008b). The MLTM institutionalised the pilot projects by revising the Act on the Planning and Utilisation of the National Territory (APUNT) in 2008, and it endeavoured to strengthen publicity and to communicate with residents through institutional designs (MLTM, 2008b).

With regard to the role of regional government, most interviewees did not give positive views, stating that regional government usually had little knowledge of local issues and had little willingness to participate in the projects. However, in the Mun-hwa Dong projects, the regional government had tried to promote the long-term visions of local governments by providing financial and administrative support and cooperating with other stakeholders⁶⁸. Gwang-ju Metropolitan City had tried to reflect the resident-driven long-term vision in its Basic Urban Plan⁶⁹. One regional government interviewee mentioned that the regional government would do its best to reflect the long-term vision

⁶⁸ See the interview with a member of regional government in Section 8.4.6.

⁶⁹ The modification of the Basic Urban Plan depends on Gwang-ju Metropolitan City. See Section 5.3.2.

of the projects in the Basic Urban Plan, even though the Basic Urban Plan could not include all the detail of the resident-driven long-term strategy.

Most interviewees agreed that local government and residents were the main actors in the projects. Local government had helped residents prepare and implement the projects by providing financial, administrative and legal assistance from the earliest stage. For example, since 2000, the BDO had subsidised the projects of several *dongs* with 3 million won (£ 1,500) per project; it had organised a support team in 2003; it had enacted an ordinance in 2004; it had established a support centre in 2005; and it had organised the Committee for Making a Liveable City in 2007 (Lee *et al.*, 2009; Kim *et al.*, 2004; Lee, 2004). In particular, most interviewees mentioned that a large-scale project needed local government to play a leading role in carrying out financial and administrative procedures efficiently. Some interviewees from the NGOs, experts, residents and the public corporation said that the success of the project depended considerably on the personal commitment and interest of the head of local government.

Criticisms of the Role of Government

Despite positive views, there have been some criticisms of the role of government. Some interviewees from the experts and NGOs said that central government may be too interventionist, especially over matters of finance, and that there was a risk of government preferring to pursue physical improvements rather than a long-term strategy for the region, due to the pressures of their own schedule and an attachment to tangible outcomes. When it came to regional government, a public corporation interviewee said there was a complex relationship between regional and local governments in South

Korea which might affect the decision-making process in a harmful way. Local governments might even have a negative influence, going too far in carrying out projects. If an elected local government head intended to use the projects to gain an advantage at the next elections, it might cause poor quality outcomes produced in too short a period, and be off-putting to other stakeholders. To cope with these limitations, most interviewees focused on the importance of government having a high institutional capacity, the effects of which could be passed on through continuous interaction with other stakeholders and education and training programmes. In addition, one NGO interviewee suggested there should be an independent organisation which would execute the budget and implement the projects continuously. He cited the CCCPP as a good model. In addition, some interviewees from the governments and residents stated that the projects required the cooperation of central, regional and local governments.

8.3.5 Education and Training

Education and Training for Community-Improvement Projects

Most interviewees mentioned that training and education programmes played an important role in encouraging residents to participate in the projects, to establish a long-term vision and to promote institutional capacity through social learning processes. One NGO interviewee focused on the importance of training and education for NGOs and experts, because these professional groups needed to learn how to communicate with residents and needed to help residents establish a long-term vision. The BDO also endeavoured to encourage residents to build up a vision for the future and to develop

their own community through education and training programmes, including a residents' autonomy school⁷⁰ and a course of lectures on autonomy⁷¹ (BDO, 2008a; Lee, 2004). Since 2001, the Society for Research into Community-Improvement too had played an important role in increasing the participation of residents through education and training programmes. This became the Committee for Making a Beautiful Community in 2005, and was put in charge of establishing the support plan and reviewing, analysing and evaluating the projects (BDO, 2006).

The MLTM suggested some special education and training programmes, for example, Help Desk⁷², which began to run in 2009. Some interviewees from central government, the public corporation, NGOs and experts stated that these programmes encouraged public involvement, strengthened publicity about the project and helped stakeholders tackle specific issues. In addition, a city academy⁷³ encouraged residents, NGOs, experts and staff of the public corporation to identify local issues and to suggest a future vision. One resident interviewee underlined the importance of the city academy, saying:

The city academy helped us draw up a community-improvement plan, linking us to experts and government officials. We applied for a pilot project from the MLTM and we won a prize of 200 million won (£ 100 thousand). Even though different stakeholders had different opinions, we learned how to communicate and how to reach agreement about local issues (interviewed on 23rd April 2009).

⁷⁰ This was established in 2000 in order to identify and educate community leaders and has been operated in Buk-Gu every year since. Nearly 500 residents and NGO members participate in the school every year.

⁷¹ These lectures started in the three *dongs* of Buk-Gu in 2003, and were extended to participants from all 26 Buk-Gu *dongs* in 2008. For example, in 2008, they were held between September and October. There were 4,075 participants, including residents, public sector organisations and NGOs. Ten experts and NGO representatives each gave a lecture on community-improvement projects.

⁷² This is a nation-wide organisation operated by the Korea Land and Housing Corporation (LH) since 2009. It has played an important role in supporting the community-improvement projects and liveable city projects through various expert consultation systems such as 'Urban Doctor' and 'Community Doctor'. For example, the LH designates some local experts as 'community doctors' who help residents and local government prepare, plan, operate and maintain the community-improvement projects.

⁷³ See Section 8.3.2.

The MLTM has tried to enhance the quality of public involvement by making it compulsory for local government to operate the support centre for the pilot projects from 2009 on (MLTM, 2008b). The support centre has provided information, developed learning programmes, established networks and fostered regional leaders. The MLTM has also designated the Cities' Day on 10th October each year and this consists of seminars and ceremonies to promote public involvement (MLTM, 2009a and 2009d).

However, it has not been easy to induce active public involvement through education and training programmes. For example, one course of lectures on autonomy failed to make sufficient contribution to developing a long-term vision through discussion, because there were too many participants and not enough time (BDO, 2008a). Some interviewees from local government and the experts suggested that a community education system such as life-long learning would be helpful. But the support centre of Buk-Gu was unable to meet its original purpose, because of the lack of manpower and budget. Thus, some interviewees from local government and the NGOs suggested that the support centre needed to be established as a public-private partnership, so that the private sector too could contribute to its staffing and running costs.

Educating Community Leaders

The Mun-hwa Dong projects indicated the importance of community leaders. Among the interviewees, a representative of the residents and an expert of Mun-hwa Dong mentioned that new community leaders were being created on a regular basis by education and training programmes such as those of a city academy. They were

convinced that the local leadership would ensure the continuity of the Mun-hwa Dong projects, even if the current community leaders disappeared. However, educating new community leaders was said by the interviewees to require the support of other stakeholders: for example, in their view, experts and NGOs needed to help community leaders recognise local problems and establish a long-term vision; while government needed to invest in developing and operating various education programmes. In addition, one resident interviewee focused on education and training programmes for enhancing the quality of communication with the disadvantaged, suggesting that the disadvantaged needed to find how to address their local issues through education and participation.

8.3.6 Institutional Design

Two Aspects of Institutional Design

The Buk-Gu case exemplifies two aspects of institutional design (MLTM, 2008b; Kim *et al.*, 2006): social learning processes, which promote communicative interaction between stakeholders; and financial, administrative and legal systems, which ensure the stability and continuity of collaborative processes (Hwang *et al.*, 2008; MLTM, 2008b). The Buk-Gu case has shown that various social learning processes encourage stakeholders to improve communication and to establish a long-term vision (MLTM, 2009a; Lee, 2004). As these social learning processes were conducted through education and training programmes mentioned in the previous section, this section focuses on the financial, administrative and legal systems in Mun-hwa Dong.

Financial, Legal and Administrative Systems of Government

The MLTM clarified the legal foundation of the community-improvement project by revising Article 127 of the Act on the Planning and Utilisation of the National Territory (APUNT) in 2008 (MLTM, 2008b). In addition, the MLTM has encouraged the participation of local government and local communities through its guidance (MLTM, 2008a). The MLTM and the regional government also contributed to extending the scale of the Mun-hwa Dong projects through additional financial and administrative support (MLTM, 2008b). However, Lee *et al.* (2007) argued that the community-improvement projects could only deal with small ventures within the framework of the present law and regulations, and that the projects should be harmonised with the urban planning system. Kim *et al.* (2006) also suggested the importance of improving legal and administrative systems to address this limitation beyond the existing urban plan. Some scholars have suggested the importance of inspection and evaluation by the residents (Song *et al.*, 2008; Lee and Lee, 2008).

Along with central and regional governments, the local government has endeavoured to support the projects by enacting an ordinance establishing support teams and providing financial assistance. The ordinance gave a basic framework for the projects by prescribing the establishment of the Community-Improvement Basic Plan, providing for financial and administrative assistance, and enabling a committee to be constituted (Lee, 2004). The idea of the ordinance was suggested by a symposium in 2001 (KRIHS, 2008a). During the two years of its preparation, a first draft was drawn up by the Ordinance Enactment Committee, and in March 2004, the BDO completed the collaborative process by enacting the final ordinance (*ibid.*). The ordinance of Buk-Gu

motivated other districts to follow suit. However, it is debatable whether the ordinance was sufficiently effective (ibid). The Community-Improvement Basic Plan of Buk-Gu, although prescribed by ordinance in 2004, was not established until 2008. The BDO started to draw up the plan up in 2008 and completed it in February 2010 (Yonhapnews, 2010). Thus, the Buk-Gu case suggests that an ordinance, though it may be necessary for legal, financial and administrative reasons, may prove to be a constraint unless its effectiveness is regularly monitored and the ordinance modified as necessary.

The BDO also established, in 2003, a support team for the community-improvement projects (Yang *et al.*, 2007). Most interviewees had positive views about the activities of the support team, considering it to have played an important role in selecting the projects and supporting them financially and administratively. In particular, the members of the team had endeavoured to listen to the opinions of the residents and to reflect them in their discussions with the residents' committees.

However, despite these positive views, there were criticisms of a type that did not arise in similar projects in Japan (Yang *et al.*, 2007): for example, Buk-Gu's support team merely belonged to a division of the BDO, while that of the Setagaya district of Tokyo was directly supervised by the head of the organisation. In addition, some interviewees from the governments and the residents mentioned that more cooperation was needed between central, regional and local governments in order to achieve greater synergy in institutional design.

8.4 Consequences of Collaborative Governance for Sustainable Development

The previous section explained the characteristics of collaborative governance in the community-improvement projects in Buk-Gu. This section examines how these characteristics contributed to implementing the principles of sustainable development. Most interviewees agreed on the role of consensus-building among stakeholders in contributing to this objective. The consequences of the collaborative governance process in Buk-Gu are discussed, focusing particularly on the Mun-hwa Dong projects.

8.4.1 The Conservation of the Environment in Urban Areas

Five out of 19 interviewees from central government, the NGOs and residents, stated that the outcomes of the community-improvement projects had little effect on the conservation of the environment, while the others gave positive views, stating that the projects contributed to improving the environment. Some interviewees, including local councillors, local government officials, experts and staff of the public corporation, suggested that, to begin with, residents might have had little professional knowledge of environmental issues and that this might account for the generally low importance given to the environment in the early stages of the project⁷⁴. However, a resident denied this, saying:

⁷⁴ It was considered debatable by the interviewees whether residents had enough ability to deal with regional issues. For example, some interviewees from an NGO, local government and the public corporation indicated that residents promoted their institutional capacity through participation, even though they might have had low institutional capacity at first. See Sections 7.3.1 and 8.4.5, which deal with the institutional capacity of residents. In addition, with regard to dealing with specific subjects, an NGO member focused on the cooperation between experts and residents. See Section 7.3.2.

It was difficult to conserve the environment in urban areas. Thus, at first, the environment was not focused on too much. However, the Mun-hwa Dong residents have endeavoured to revive the natural environment by harmonising their living environment with nature, for example, by creating a forest path and a park. In particular, as the community-improvement project was extended to a liveable city project, the environmental outcomes became better (interviewed on 18th November 2009).

Figure 8.4 Examples of the Community-Improvement Projects (Source: BDO)



Figure 8.5 Examples of the Liveable City Projects (Source: Gwang-ju Metropolitan City)



Despite this argument, it is noted that the above interviewees agreed that environmental issues appeared to become more important to residents when the community-improvement project was extended to the much larger scale liveable city project, which

included a larger and wider variety of stakeholders, often with expert knowledge of the environment, who began to voice their concerns and to argue that the needs of the environment should be fully reflected in the long-term vision for the area. As the projects developed, the growing institutional capacity of residents contributed to the improvement of the environment. Some residents promoted institutional capacity through both direct and indirect participation and began to recognise the importance of the environment through social learning processes. A central government interviewee mentioned that community members pursued the link between the environment and the quality of life when they were involved in the liveable city project.

Concern about the natural environment might not seem relevant to urban areas of South Korea, where the urbanisation rate has risen dramatically from 40 percent in 1960 to 90 percent in 2007, due to rapid industrialisation (E-Korea Index, 2009). Some interviewees from the NGOs, experts, local government and the public corporation said that the residents in urban areas were interested mainly in the quality of life and economic growth of the region, and it is true that most outcomes of the Mun-hwa Dong projects were more related to the enhancement of the quality of life than to the conservation of the environment (Song *et al.*, 2008). The understanding of most interviewees about the urban environment also focused mainly on improvement of the quality of life: for example, creating a flower garden and formative arts; painting dilapidated walls; transforming a rubbish dump under an expressway into a small park for citizens; and enhancing the quality of a wayside resting place.

Then, the question arises as to whether the principles of sustainable development in urban areas are different from those of rural areas. All interviewees stated that the principles, including the conservation of the natural environment, were the same, though there might be different views about how to achieve them due to the diverse interests of residents and possibly different local visions between urban and rural areas. For example, some interviewees from the NGOs and the public corporation mentioned the importance of the natural environment in urban areas, because it might be damaged by climate change and by general environmental degradation. Some scholars (Jones and Evans, 2008; Evans, 2002) regard urban brownfield sites, such as an abandoned industrial site, as a better place for a variety of natural habitats than wide areas of carefully ‘managed’ countryside.

Some interviewees from the NGOs and the local government mentioned that in urban areas, the conservation of what remains of the natural environment should be an important part of urban development schemes. In particular, the public corporation interviewees suggested that central government needed to give environmental appraisal criteria more weight when it designated its pilot projects, because this might help to encourage stakeholders to take an interest in the environment and might contribute to the conservation of the environment as part of urban development schemes.

Challenges to Collaborative Governance

When it came to the stakeholders of the Mun-hwa Dong projects, a local government interviewee stated that these projects did not at first involve any members of environmental NGOs. As the scale and content of the projects became bigger, however,

more NGOs and experts from various fields began to be involved. This was why the liveable city projects contributed to improving the environment. Some cases in other regions also illustrated the importance of the involvement of NGOs and experts from various fields. For example, the revival of the An-yang River showed the importance of the involvement of environmental NGOs (PCBND, 2007). Some NGOs such as the Korean Federation for Environmental Movement (KFEM) had been involved in this project since the end of the 1990s. They implemented various projects, giving priority to the improvement of the quality of water and the restoration of ecology; and as a result, the An-yang River now has various types of fish, nearly two-thousand birds, and diverse plant species. Based on this experience, a local government interviewee suggested the importance of involving environmental NGO members and experts.

However, there were some negative views. A public corporation interviewee stated that the participation of environmental NGOs and experts would not guarantee consensus on environmental matters, if residents could not recognise the importance of the natural environment. This was because residents took the initiative in the decision-making process. NGOs and experts needed to collaborate with residents, strengthening mutual communication. Education and training programmes might be helpful here.

8.4.2 Sustainable Economic Growth and a Long-term Regional Vision

Seventeen out of 19 interviewees gave positive comments on the consequences of the community-improvement projects for the pursuit of sustainable economic growth. A representative of the residents said that the projects contributed to the development of

the regional economy and the enhancement of the living environment; that the government had invested a reasonable amount of money in the Mun-hwa Dong projects; and that the improved living environment had had a positive effect on house prices indirectly. One public corporation interviewee stressed the importance of a long-term regional vision, saying:

Cities are pursuing sustainable economic growth by creating specific regional visions. We needed to establish a long-term vision, linking various values with economic growth, for example, connecting wet land⁷⁵ to the increase of the residents' income and bringing together cultural capacity and commercial value (interviewed on 21st April 2009).

One local government interviewee said that Mun-hwa Dong created the vision of a 'cultural community with poems and pictures' through a collaborative process in 2002. This is in accordance with the vision of Gwang-ju Metropolitan City, a 'cultural hub city for Asia' (Gwang-ju Biennale Foundation, 2009). The Mun-hwa Dong projects were intended to not only improve the living environment of the community, but also to promote regional economic development. One of the representatives of the residents in Mun-hwa Dong expressed high aspiration, saying:

The regional government will invest 20 billion won (£ 10 million) in our project. We will connect our project to specific sightseeing tours and meals for people who visit both the May 18 Democratisation Memorial Park and the Gwang-ju Biennale Town (interviewed on 24th April 2009).

⁷⁵ For example, Sun-cheon Bay is famous for its salt marshes which are inhabited by rare birds such as the hooded crane. It was registered as the first domestic coastal marshland area to be protected in South Korea on 20th January 2006. In 2009, 2.33 million people visited these marshes (Chosun.Com, 2010; Sun-cheon City, 2008).

The May 18 Democratisation Memorial Park and the Gwang-ju Biennale Town, located near Mun-hwa Dong, are some of the most famous places in South Korea. The former commemorates the start of the democratisation movement in Gwang-ju Metropolitan City in 1980; and the latter, which has been held every other year since 1995, is for celebrating art and culture through a variety of performances by people from nearly 50 countries. The Mun-hwa Dong projects, which included an outdoor gallery, a public square, learning places and a green walk near the green belt area, have pursued the vision of a ‘cultural community with poems and pictures’. If the Mun-hwa Dong projects succeed in promoting economic vitality, attracting nearly a million tourists per year to visit the May 18 Democratisation Memorial Park and the Gwang-ju Biennale Town, the projects could claim great success in contributing to economic growth.

Figure 8.6 The May 18 Democratisation Memorial Park and the Gwang-ju Biennale Poster
(Source: Buk-Gu District Office and www.Gwang-ju-biennale.org)



However, the question arises as to whether this economic development follows a sustainable pattern. A central government interviewee warned that if the community-improvement projects only pursued economic growth through cost-benefit analysis, the

community would eventually be broken up. In particular, some NGO interviewees gave negative views about urban regeneration schemes such as city redevelopment, stating that those schemes might result in the demolition of the outcomes of the community-improvement projects. This was because the economic growth assumed to result from urban regeneration schemes might take precedence over the growth of a community.

Despite this negative view, some interviewees from the NGOs and the public corporation stated that the Mun-hwa Dong projects had succeeded in harmonising with the surrounding urban regeneration schemes through long-term vision and regular dialogue. Some interviewees from central and local government, the public corporation, the NGOs and the experts commented that the harmonisation of the Mun-hwa Dong projects with the urban regeneration schemes resulted from the high institutional capacity of the residents, who had succeeded in building up mutual trust with the managers of the urban regeneration schemes. In addition, these interviewees suggested the importance of continuous monitoring to see whether the procedures and outcomes of this project were sustainable.

Challenges to Collaborative Governance

Many interviewees stressed the importance of the group of experts in the community-improvement project. The experts, who had professional knowledge of community development, played a critical role in helping the residents establish a vision for the future; and a local government interviewee said that large scale projects such as a pilot liveable city project needed the technical support of experts. Some interviewees from the local government, the public corporation, the residents and the experts mentioned

that the successful outcomes of Mun-hwa Dong resulted from both the practical ideas of the residents and the professional knowledge of the experts. In particular, a local government interviewee suggested that connecting the community-improvement projects to the May 18 Democratisation Memorial Park and the Gwang-ju Biennale Town might benefit from the involvement of experts from various fields, because creating and developing a cultural and recreational place for a million visitors would benefit from the support of experts such as artists and planners.

The community-improvement project also required institutional designs to be harmonised with urban regeneration schemes. One public corporation interviewee gave as an example the case of Seoul Metropolitan City, which selected five community-improvement projects from many applications on condition that the applicants could demonstrate a certain level of support from residents, and that the proposals themselves were in harmony with the urban regeneration schemes to which they related. In addition, some education and training programmes such as a city academy and the Help Desk promoted regional economic development, encouraging regional leaders to be interested in sustainable economic growth and to produce innovative ideas. Along with these administrative institutional designs, most interviewees stressed the importance of continued financial support from governments, as a catalyst for the creation of economic gains. In particular, if residents succeeded in getting their long-term vision incorporated into the urban plan, it would be easier to obtain the financial assistance of governments.

8.4.3 Fulfilling the Need for Equity by Communicating with the Disadvantaged

Seven out of 19 interviewees gave negative views about the achievement of equity. This was a high level of dissatisfaction compared with other principles of sustainable development, and in terms of social justice as a whole. However, other interviewees expressed positive views. For example, one resident interviewee mentioned that the projects changed rubbish dumps into resting places, from which everyone could benefit.

Figure 8.7 A Rubbish Dump is Transformed into a Pleasant Resting Place
(Source: Buk-Gu District Office, Duam-3 Dong)



Figure 8.8 A rubbish Dump is Transformed into a Place with a Poem in Mun-hwa Dong
(Source: Residents' Committee of Mun-hwa Dong)



Criticism that some people were not treated equally was caused by the apparent exclusion of the disadvantaged from collaboration in the projects. It was said that this was due to 'insufficient time, financial problems and indifference'. In addition, some NGO interviewees argued that community-improvement projects for the disadvantaged were rarely supported by the governments. Moreover, when the Mun-hwa Dong projects tried to enlarge their project area to include a place where most residents could be considered 'disadvantaged', there was a severe conflict between the residents' committee and the disadvantaged. One of the experts commented that both regular dialogue and a long-term vision were the key to resolving such conflict, saying:

When I met the residents of a permanent rental apartment, I described the future vision of the project which included demolishing the existing soundproofing walls in front of their apartment and creating a green walkable street in their place. Despite several contacts, the representative of these residents opposed this move, in order to receive more reward for agreeing to it. However, some residents in that apartment began to agree with our vision. I expect that I can obtain the residents' consent in the end (interviewed on 24th April 2009).

Those involved with the Mun-hwa Dong projects have tried to communicate with the disadvantaged of the permanent rental apartment since then, promising the improvement of their dwelling. A resident interviewee described the situation, saying:

Communicating with the disadvantaged requires education programmes, publicity and financial support. It is important to give them a hope that they can find a job and join in establishing a community. We were doubtful about investing a lot of money in improving the dwellings of the disadvantaged at first. However, when we completed the projects, the disadvantaged were satisfied and very cooperative with us (interviewed on 18th November 2009).

In addition, with regard to how to cope with the social exclusion of people who live in social housing such as permanent rental apartments in South Korea, Ha (2008) suggested that all sectors, including public, private and voluntary sectors, and residents needed to collaborate through a bottom-up process in order to reflect the needs of all residents, particularly the disadvantaged.

Challenges to Collaborative Governance

Involving the disadvantaged contributed to improving living conditions, minimising potential conflict and establishing a community where people talked to each other across social and economic divides. Following this, however, the question arises as to how to promote the involvement of the disadvantaged. Some interviewees from the public corporation, NGOs and local government suggested that the MLTM needed to improve its criteria for designating the pilot projects, emphasising the importance of involving the disadvantaged. They also said the MLTM needed to invest in developing education and training programmes for the disadvantaged, to encourage their participation. An NGO interviewee mentioned that NGOs played an important role in involving the disadvantaged. Some interviewees from local government and residents focused on the importance of publicity and feedback for the disadvantaged.

An NGO interviewee and an expert stressed that to achieve greater equality of involvement among the different sections of the population required a long-term approach, not a series of ‘one off’ events for the disadvantaged. They also indicated that community leaders, if they were to justify their role and title, needed to establish and implement a long-term vision involving all residents. Their view was that, if community

leaders were to share successful experiences with the disadvantaged, the disadvantaged might be willing to participate in the projects more actively. However, nearly all interviewees suggested that the most important thing was trust-building, which would help in developing greater loyalty to, and interest in, the projects on the part of all those involved and all potential beneficiaries. Therefore, fully establishing and promoting the institutional capacity of stakeholders needed a greater commitment to equality in planning, implementing and experiencing the projects.

8.4.4 Improving the Quality of Life through Resident Participation

Among the interviewees, the highest level of satisfaction was expressed with the work done to enhance the quality of life, compared with other principles of sustainable development. Eighteen out of 19 interviewees agreed with the opinion that the projects contributed greatly to the quality of life by tackling local issues. They gave as examples various projects in Buk-Gu which had been carried out over 10 years. In addition, reports by the MLTM and the Korea National Housing Corporation (now, the Korea Land and Housing Corporation) showed that the pilot projects of the former MOCT (now, the MLTM) had also aimed to create comfortable, safe, good-to-work-in, enjoyable, cultural and clean places, encouraging residents and local government to participate in the projects (MLTM, 2009a; KNHC, 2008). Most interviewees stated that the enhancement of the quality of life depended on the extent of resident participation, because residents had practical knowledge of their living places. An NGO interviewee stressed the importance of resident participation, saying:

Both enhancing the quality of life and improving physical facilities can be achieved on the assumption that residents participate and express their opinion in decision-making and implementation (interviewed on 21st April 2009).

A local councillor stressed the importance of the residents' committee of Mun-hwa Dong, because the committee encouraged residents to participate in the projects and to create a high quality of life. One expert focused on the role of experts with specific professional knowledge, arguing that such experts needed to cooperate with residents through dialogue, without forcing residents to comply with their opinions. Furthermore, a resident interviewee illustrated the spread of the institutional capacity of residents, explaining some experiences related to the enhancement of the quality of life as follows:

In the past, there were drunken people and rubbish in my community. Since 1999, the residents have begun to improve living conditions through the community-improvement projects, for example, tidying up their living places. As a result, there have been big changes. Drunken people and rubbish are much less in evidence. In addition, there has been an enhancement of institutional capacity among the residents. For example, when we made artificial ponds, some people stole fish from the ponds at first. However, other people, on their own initiative, put fish in the ponds again at their own expense. This proved that institutional capacity had been spreading through the projects for several years (interviewed on 23rd April 2009).

Figure 8.9 Artificial Ponds in Mun-hwa Dong (Source: Residents' Committee of Mun-hwa Dong)



Challenges to Collaborative Governance

Despite their high satisfaction with how the quality of life had been improved, some interviewees from the NGOs and experts criticised certain community-improvement projects for focusing only on the improvement of physical facilities, or holding occasional festivals without pursuing a long-term vision based on residents' participation. With regard to these criticisms, most interviewees suggested that the education and training programmes could give greater attention to long-term considerations, because those programmes helped residents recognise and understand regional issues and the need to relate future projects to a long-term vision. They mentioned that the programmes also played an important role in enhancing institutional capacity and maintaining the collaborative governance system.

Along with education and training, a local government interviewee suggested that direct and indirect participation helped residents enhance the quality of life and promote their institutional capacity. Some interviewees from the NGOs, local government and the public corporation also indicated that enhancing the quality of life depended on the support of government, just as Lee *et al.* (2008) had concluded. In their view, the support of government also had a positive influence on the participation of residents. In addition, some interviewees from the governments, the public corporation and NGOs suggested that, if lessons were learnt from the monitoring and appraisal of projects, this too would have beneficial effects on improving the quality of life.

8.4.5 Participatory Democracy based on a Bottom-up Process

Eighteen out of 19 interviewees gave very positive views about the way the projects had enhanced participatory democracy, although one NGO interviewee pointed out a lack of resident participation in some projects in Buk-Gu. This level of satisfaction was the highest recorded, along with that for enhancing the quality of life. In particular, one central government interviewee mentioned that the bottom-up process of developing the community-improvement projects had been the key point of participatory democracy. Most interviewees said that the success of participatory democracy depended on the participation of residents and the institutional design of government.

The majority of interviewees thought highly of the participation of residents in the Mun-hwa Dong projects, because the direct, indirect and financial participation of residents contributed to a bottom-up process that characterised the development of the projects. They said that this participation was not for self-interest, but for public interest.

One of the residents' representatives explained how the projects contributed to promoting institutional capacity. For example, the Mun-hwa Dong projects changed some derelict places where there were no plants into flower gardens. Some residents voluntarily sowed seeds, then watered and cared for the plants as they grew. Through this participation, residents produced various garden features on their own and promoted institutional capacity.

Figure 8.10 Examples of Resident Participation in Mun-hwa Dong
(Source: Residents' Committee of Mun-hwa Dong)



Challenges to Collaborative Governance

The success of resident participation in Mun-hwa Dong was attributed by interviewees to the high institutional capacity of the residents' committee. Despite some sceptical views, most interviewees pointed out that the residents' committee of Mun-hwa Dong had tried hard to represent the residents and strengthened its role through cooperation with other stakeholders such as the CCCPP. In 2008, the residents' committee was awarded first prize in a national competition run by the MOGAHA for 'contributing greatly to resident autonomy'.

However, sometimes participatory democracy may not produce better outcomes, despite resident participation. Some interviewees from the experts, the public corporation, central government and the NGOs warned that participatory democracy might include only nominal public involvement in some cases. They suggested that community-improvement projects needed to involve various support systems to induce effective public involvement: for example, an internet homepage for a community, and education and training programmes for residents, such as community forums. Some interviewees from the NGOs and local government suggested that enhancing participatory democracy required the practical support of government, because government contributed to involving and enhancing the participatory skills of stakeholders through institutional design. In particular, all interviewees suggested that participatory democracy needed to be harmonised with representative democracy, because local councillors played an important role in ensuring financial, administrative and legal support from government.

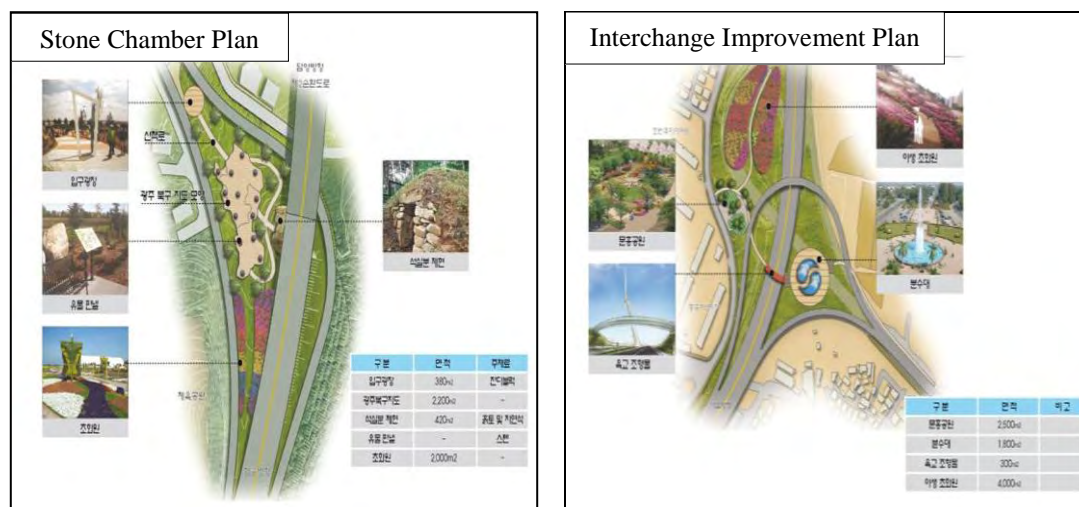
8.4.6 Linking a Long-term Vision to the Urban Planning System

Sixteen out of 19 interviewees gave positive opinions about the establishment and implementation of a long-term vision, focusing on the role of residents and government. The Mun-hwa Dong projects suggested that a long-term vision was the key to achieving better outcomes and the stability and continuity of the projects. One central government interviewee stated that all the procedures of the community-improvement project had been aimed at the establishment of a long-term vision for the community and the region. One NGO interviewee agreed with this opinion, stating:

The changes to the community needed a long-term vision. The vision encouraged people to participate in the project. The most important thing was that the residents got together and reached agreement about what the community really valued. They needed to recognise regional issues, to establish a long-term vision through shared understanding, and to implement it, using all the means at their disposal (interviewed on 20th April 2009).

However, it was not easy to implement a long-term vision in practice. Most interviewees said that it depended on linking the community-improvement projects with the urban planning system. Some interviewees from central government, the NGOs and the public corporation argued that if this aim could be achieved, it would help to maintain the process of collaborative governance in future.

Figure 8.11 The Long-term Vision of Mun-hwa Dong for Cultural Communication



It was said to depend on stakeholders being willing to collaborate. For example, the residents' committee and the CCCPP had tried to integrate the resident-driven long-term vision into the urban planning system through regular contact with other stakeholders; the BDO clarified by ordinance the establishment of the Community-Improvement Basic Plan; and Gwang-ju Metropolitan City also endeavoured to bring these

collaborative efforts into the urban planning system by providing an adequate budget and administrative support. With regard to the harmonisation of community-improvement projects with the Basic Urban Plan, a regional government interviewee gave a positive view, saying:

The Basic Urban Plan is a comprehensive plan for the city over the next 20 years. It will reflect what the residents have been saying about their long-term vision for the area, even though it has been difficult to include all details. Our job is to link the long-term vision of residents to the Basic Urban Plan and we will continue to communicate with the residents as we do it (interviewed on 9th December 2009).

Challenges to Collaborative Governance

In contrast to the Mun-hwa Dong projects, some of the Buk-Gu projects were criticised for not having a long-term vision, because they were mostly set up for only one year (BDO, 2006). An NGO interviewee said that the establishment of a long-term vision needed the participation of more residents' autonomy organisations with a new regional vision, because some pro-government associations might take the initiative in the collaborative policy-making process. Another NGO interviewee mentioned that experts' groups could play a crucial role in encouraging residents to set up a long-term plan for the future of the community. A public corporation interviewee suggested that, with regard to the criteria for designating pilot projects, the central government needed to give special weight to the establishment of a long-term vision.

8.5 Conclusion

The Buk-Gu case confirmed that the characteristics of a collaborative policy-making process in urban planning in South Korea corresponded roughly to the six elements of collaborative governance; and that the characteristics of collaborative governance can contribute to implementing the principles of sustainable development. However, there was low satisfaction with the treatment of the environment; and with the absence of equal consideration being given to the needs of everyone living in the area. The way some people, such as the disadvantaged, were not treated equally caused a conflict between the residents' committee and the disadvantaged. This conflict has caused the stakeholders of the Mun-hwa Dong projects to communicate with the disadvantaged since then. Thus, as identified in the previous chapter, the Buk-Gu case also shows that the characteristics of collaborative governance have evolved toward sustainable development, compensating for initial weaknesses of the process. In addition, this chapter reconfirms that the participation of residents and the support of government are essential for maintaining and developing collaborative governance. Based on a review of the two case studies, the next chapter will seek to answer the research questions and to suggest some key findings of the research.

CHAPTER 9

ANALYSING THE CASE STUDIES

9.1 Introduction

The two case studies of South Korea were undertaken to explore the characteristics of collaborative governance and to examine the relationship between collaborative governance and sustainable development, using an analytical framework derived from the literature reviews: in the field of conflict mediation at the Si-hwa projects; and in the field of collaborative policy-making at the Buk-Gu projects. This chapter attempts to answer the research questions below and to suggest some key findings, by analysing the results of the case studies in the light of the literature review:

- What are the characteristics of urban planning in South Korea that relate to collaborative governance?
- What consequences do the elements of collaborative governance in urban planning have for the principles of sustainable development in South Korea?
- In a collaborative governance era, what role does government play in working towards sustainable development?
- What is needed to enhance the quality of future collaborative governance?

9.2 The Main Features of Collaborative Governance in South Korea

This section seeks to answer the following research question: What are the characteristics of urban planning in South Korea that relate to collaborative governance? The literature (Healey, 2006; Innes and Booher, 2004; Newman *et al.*, 2004; Burby, 2003; Khakee, 2002; Sullivan and Skelcher, 2002; Lowndes and Wilson, 2001) shows the main elements of collaborative governance in urban planning to be: inclusive stakeholder involvement; the promotion of institutional capacity; collaborative leadership of stakeholders; the role of government as a facilitator; the role of education and training; and institutional design. The case studies confirmed that the characteristics of urban planning in South Korea corresponded roughly to the six elements of collaborative governance. The characteristics of collaborative governance in conflict mediation and collaborative policy-making were nearly alike, even though the characteristics of the case study projects were different. However, the strength of each of the elements depended on the specific situations of the projects. In addition, the two case studies have shown that the details of some elements have evolved towards sustainable development, compensating for initial weaknesses in the process.

Among the six elements, the case studies focused on the importance of institutional capacity, because high institutional capacity encouraged stakeholders to build up trust, to establish a long-term vision and to tackle future issues successfully. In particular, the case studies suggested that the institutional capacity of residents and government was important, in that the participation of residents and the support of government

contributed to both maintaining a governance system, and to improving the quality of the other elements of collaborative governance.

9.2.1 Inclusive Stakeholder Involvement

Interdependence

Involving various stakeholders is essential to trust-building through dialogue and interaction in collaborative governance (Innes and Booher, 2004; Healey, 1998). The case studies confirmed that inclusive stakeholder involvement in a governance system enhanced legitimacy and stability related to the outcomes of urban planning. In the Sihwa case, the SSDC in 2004 was made up of nearly 40 people including government officials, NGO representatives, experts, local councillors and representatives of a public corporation. In 2008, other representatives chosen by the residents were added as speakers in the SSDC and as members of some SSDC task forces, in order to compensate for the initial weakness caused by a previous lack of residents' participation. In the Buk-Gu case, the residents' committee initiated the community-improvement projects with the support of local government and experts in 1999. Since 2006, as the projects have continued to create successful outcomes, more actors, such as central and regional governments and the CCCPP, have become involved in them.

However, a question arises as to why stakeholders intend to participate in a collaborative governance system. The case studies indicated that it was recognition of their interdependence that encouraged stakeholders to be involved in a collaborative

process. In the Si-hwa case, the SSDC was established following the recognition of their mutual interdependence by the public and private sectors: for example, the MOCT (now, the MLTM) needed to obtain legitimacy and practical knowledge from civil society; and the NGOs needed the financial, administrative and legal support of the public sector in order to improve the quality of water and air in the Si-hwa area. In the Buk-Gu case, the residents' committee and the CCCPP also recognised their interdependence: the residents' committee collected the opinions of residents, while the CCCPP compensated for weaknesses in the residents' committee by providing special expertise and establishing strong networks with governments.

Representation of Residents

The case studies showed the importance of the participation of residents in relation to that of other stakeholders, because residents provided legitimacy and practical knowledge and contributed to the establishment of a sound long-term regional strategy through a bottom-up process. The Mun-hwa Dong projects were good examples of the representation of residents, while the Si-hwa case was criticised for a lack of residents' participation. The SSDC at first involved the local councillors instead of residents, because it was concerned that citizen involvement in an adverse situation might create controversy. This caused an argument about whether the SSDC had endeavoured to communicate with residents, and whether the outcomes of the SSDC's work had the legitimacy that derives from representing civil society. To tackle this argument, the SSDC began to involve some representatives chosen by residents, but only in the role of members of some SSDC task-forces or speakers in the SSDC. This effort was important as a means of communicating more fully with residents, encouraging their participation,

strengthening publicity to them, fostering community leaders, and providing them with access to experts and NGOs, even though the residents were not full members of the SSDC with voting rights.

In addition, all interviewees in the case studies identified the importance of harmonising representative and participatory democracy: for example, through cooperation with community leaders to represent residents' voices and with local councillors to obtain financial and legal support from government. In the Si-hwa case, it was debatable whether residents rather than local councillors needed to participate as members of the SSDC: some members of NGOs and experts suggested that the SSDC needed to involve the residents' representatives as members with voting rights, while other participants from governments, local councils and the public corporation said that elected representatives should be given priority over residents. However, all interviewees agreed that both groups of representatives needed to cooperate. In the Buk-Gu case, which had many good examples of resident involvement, all interviewees agreed with the importance of integrating representative and participatory democracy, because as projects became bigger, the residents' committee needed the financial, administrative and legal support that could be given by local councillors.

Balanced Power Relationships

The case studies suggested that maintaining balanced power relationships required the continuous involvement of new participants who would help to compensate for initial weaknesses in the existing governance system. In the Si-hwa case, the SSDC, which was criticised for not involving residents at first, needed to provide wider access to

potential participants, for example, including those groups opposed to the projects as well as residents, just as Sullivan and Skelcher (2002) concluded. Most interviewees identified the importance of involving new members of the SSDC from among residents and experts in various fields. The Mun-hwa Dong projects, which were mainly conducted by the residents' committee and the CCCPP, needed to involve the disadvantaged and a wider range of residents' organisations with different perspectives. The case studies showed that involving new participants contributed to minimising potential conflicts, developing a collaborative governance system and creating better outcomes. However, involving new participants requires the high institutional capacity of all stakeholders. Government needs to establish adequate institutional designs such as social learning programmes for potential participants; residents must try to participate in a collaborative governance system, compensating for any lack of expertise; and experts and NGOs need to play their part in supporting professional discussion, encouraging the participation of residents and mediating where there is conflict between residents and government. The next section focuses on the institutional capacity of stakeholders.

9.2.2 The Promotion of Institutional Capacity

A Key to the Continuous Success of Collaborative Governance

The case studies suggested that the continuous success of collaborative governance depended on the extent of institutional capacity of stakeholders: high institutional capacity encouraged stakeholders to build up trust, to recognise regional issues, to establish a long-term vision through collective ways of thinking, and to enable future

issues to be tackled more effectively. Among stakeholders, the research showed that the institutional capacity of residents and government was important in developing a collaborative governance system, because residents with high institutional capacity contributed to establishing a long-term vision for the region and producing better outcomes, and because the government, with its high institutional capacity, encouraged residents to tackle issues by providing adequate legal, financial and administrative support. Thus, an NGO interviewee concluded that all complex issues could be tackled by an enthusiastic resident and a passionate government official.

The Institutional Capacity of Residents and Government

The case studies confirmed that promoting the institutional capacity of residents was the most important factor in developing collaborative governance. In the Si-hwa case, the SSDC focused on promoting the institutional capacity of participants in the SSDC through social learning processes. However, a lack of resident participation caused a continuous conflict between the SSDC and the residents which even threatened the consensus of the SSDC.

In contrast to Si-hwa, the Buk-Gu case indicated that the residents' committees, with their high institutional capacity, encouraged residents to participate in the projects, to build up trust among stakeholders, to establish a long-term vision of their living place and to tackle future issues in a sustained way. The Buk-Gu case also found that the institutional capacity of residents contributed to harmonising the community-improvement projects with urban regeneration schemes, even though urban regeneration schemes sometimes produced results that contradicted the outcomes of the community-

improvement projects. The case studies also indicated that the institutional capacity of residents could be promoted through direct and indirect participation. In addition, some interviewees from NGOs and experts suggested the importance of publicity, monitoring and feedback to residents.

However, if residents merely pursued self-interest, without cooperating with other stakeholders, they could not induce positive results. Thus, the case studies suggested that the promotion of the institutional capacity of residents required the support of other stakeholders, such as government, NGOs and experts. In particular, the institutional capacity of residents was closely bound up with that of government, because enhancing the institutional capacity of residents needed the financial, administrative and legal support of government: for example, the support of government encouraged resident participation and enhanced the quality of participation through institutional designs.

In addition, the high institutional capacity of government was important in preventing government from dominating a collaborative governance network. There is much literature about the failure of collaborative governance due to the role of government as a controller rather than a facilitator (Futo *et al.*, 2006; Demetropoulou *et al.*, 2006; Kwon *et al.*, 2006; Harrison *et al.*, 2004; Baiocchi, 2003). In many cases, government tended to take the initiative in operating a governance system as a single leader. With regard to how to promote the institutional capacity of government, the case studies suggested trust-building through intense communication between stakeholders and continuous education and training for government officials, as well as for other stakeholders.

9.2.3 Collaborative Leadership

The Importance of Collaborative Leadership

Government is no longer a single leader, due to the many challenges it now encounters, such as globalisation, decentralisation and the growth of civil society (Durose and Rummery, 2006; Ryan, 2001). The case studies showed that collaborative leadership, based on the recognition of mutual interdependence between stakeholders, played an important role in establishing, protecting and encouraging a governance system. In particular, when a system was faced with obstacles, leaders endeavoured to protect the collaborative process by mediating conflict between stakeholders and providing a long-term vision for the region. The Si-hwa case indicated that collaborative leadership in which both central government and the NGOs played a part contributed to establishing and maintaining the SSDC. In the Buk-Gu case, the success of the Mun-hwa Dong projects was attributed to collaborative leadership of the residents' committee, the CCCPP and local government. Collaborative leadership of stakeholders created a synergy effect, for example, through legitimacy and practical ideas from residents, financial and administrative support from government as a facilitator, professional knowledge from various experts, and communicative skills from NGOs.

Key Factors: Community Leaders, Social Learning and a Long-term Vision

The case studies confirmed that the quality of leaders, on which the success of the collaborative outcomes depended, was the most important thing in a governance system. In particular, it was seen that collaborative leadership could not be established without

the support of community leaders. The Buk-Gu case showed that community leaders played a key role in encouraging resident participation and establishing a long-term vision through cooperation with other stakeholders. The community leadership also contributed to ensuring the stability and continuity of collaborative governance and creating synergy. However, it was not easy to identify and educate leaders to represent their community. The case studies highlighted the importance of continuous publicity, feedback and education for residents. Some interviewees from NGOs and local government identified the importance of the role of experts and NGOs in this respect.

However, it was debatable whether leaders in a collaborative governance system felt free to make a decision about complex issues. In Si-hwa, the NGOs and the governments made a detailed report on the main issues to the heads of their organisations before and after participating in the SSDC in 2004. Despite interdependence between stakeholders, the execution of collaborative leadership could be restricted by the unwilling attitude of the heads of organisations. Thus, the case studies suggested the importance of the institutional capacity of stakeholders, in that a high institutional capacity enabled stakeholders to establish a long-term vision through collective ways of thinking, and this was the key to resolving the above problem. In the Si-hwa case, even the heads of organisations could not help but accept the final outcomes, due to the legitimacy and accountability of collaborative outcomes based on a long-term vision established through social learning processes among stakeholders. In Buk-Gu, stakeholders, particularly one expert endeavoured to resolve a serious conflict between the residents' committee and the disadvantaged by strengthening communication and by providing a long-term future vision, despite the opposition of the

representative of the disadvantaged. Their efforts resulted in mutual trust between all stakeholders and successful outcomes. This suggested that providing a future vision established through social learning processes could persuade the disadvantaged to participate in projects and to cooperate with other stakeholders towards common goals. This is also related to enhancing the institutional capacity of stakeholders.

9.2.4 The Role of Government as an Active Facilitator

The Importance of Government as a Facilitator

Some (Healey, 2006; Burby, 2003; Lowndes and Wilson, 2001; Jessop, 1998) have argued that government has acted as a facilitator, reducing hierarchical features, while others (Futo *et al.*, 2006; Demetropoulou *et al.*, 2006; Kwon *et al.*, 2006; Harrison *et al.*, 2004) have held that some collaborative practices still included governments as controllers. With regard to this argument, the case studies confirmed that governments in the two case studies played a significant role in a collaborative governance system not as controllers but as active facilitators. The central government encouraged other stakeholders to participate by enacting a law, giving guidance and providing financial support; the regional government endeavoured to mediate conflicts among local governments and to integrate a long-term vision for the region, even though it was criticised for its indifference and limited knowledge about local places, compared with the role of central and local governments; and the local authorities played a significant role in supporting local governance financially, administratively and legally and implementing agreements through cooperation with residents.

In the Si-hwa case, the MLTM contributed to establishing the SSDC through cooperation with the NGOs. The MLTM also endeavoured to build trust among stakeholders and to maintain the SSDC by promoting various institutional designs. Gyeong-gi Province played an important role in mediating conflicts and integrating a regional vision, even though other stakeholders were disappointed by its indifference and ignorance of local issues at the beginning of the process. The role of the three local authorities of Si-heung, An-san and Hwa-seong city was very important in supporting a governance system, tackling local issues and implementing agreements with residents. However, the local authorities needed to cooperate with each other in order to create better results in the SSDC.

In the Buk-Gu case, where the residents took the initiative in conducting community-improvement projects with the experts and the local government, the BDO played an important role in encouraging residents to be actively involved in the projects by providing financial support, establishing a support team and a support centre, and enacting an ordinance to establish the status of this support. In particular, when the projects became bigger, the local government contributed to enhancing efficiency and effectiveness by supporting them administratively and legally. Gwang-ju Metropolitan City also contributed by incorporating the resident-driven long-term regional vision into its Basic Urban Plan and implementing it by providing an adequate budget and administrative support. The MLTM encouraged more actors to participate in the projects by revising a law, giving guidance, providing financial support through pilot projects and strengthening publicity and education.

The case studies also indicated that the role of central government had gradually been reduced⁷⁶ through decentralisation and public involvement, and that local government had become more powerful due to the delegation of central power. However, most interviewees focused on the benefits of cooperation between central, regional and local governments to produce more positive outcomes.

The Inherent Risks related to the Role of Government

Despite the positive influence of government, the relevant literature also highlights some of the practical problems associated with its role (Helling, 1998). The case studies illustrate inherent risks: for example, a possibility of interference by central government through directions and regulations; complex politics between regional and local governments; severe competition between local governments to obtain a central budget; and the possibility of local politicians taking advantage of the community-improvement projects as an election strategy for becoming or remaining a mayor or local councillor. Some interviewees mentioned that the role of government needed to be minimised as much as possible. However, they did not suggest the suspension of government support. Despite these risks, most interviewees stressed that government needed to support a governance system continuously, because its financial, administrative and legal support was essential to maintain a stable system and enhance the quality of outcomes.

⁷⁶ For example, the pilot projects of several central government ministries were covered by one budget in 2010. The Ministry of Strategy and Finance (MOSF) makes grants to local governments. The local governments have to make a decision about what to do with the budget and implement their plan with residents. The MLTM establishes guidance to support the projects, consulting the projects when it comes to a long-term vision (MLTM, 2009h).

9.2.5 The Role of Training and Education

Establishing a Long-term Vision and Promoting Institutional Capacity

The case studies indicated that training and education programmes played a significant role in encouraging public involvement, the sharing of information and knowledge, the establishment of a future vision for a region and the fostering of new community leaders through social learning processes. In particular, the programmes contributed to enhancing the institutional capacity of stakeholders, because they encouraged stakeholders to build new collective ways of thinking.

In the Si-hwa case, the SSDC developed social learning processes, such as group learning with experts and all night discussion, through which they endeavoured to overcome the perception gap between conservation and development and to establish a long-term vision. However, except for some group learning, there were few specific education and training programmes for potential new participants such as residents. Most interviewees suggested that the SSDC needed education and training programmes on how to communicate with other stakeholders and how to establish a vision for the future. Even though there was some training available on conflict management, this was mainly limited to the public sector.

In the Buk-Gu case, there were education and training programmes, such as a city academy and a course of lectures on autonomy, which encouraged stakeholders to enhance their participatory skills and helped residents build up a vision for the future of their community. However, the Buk-Gu case suggested that these programmes were

effective only when sufficient time and money were invested, because superficial education programmes might cause scepticism about education and training.

Educating Community Leaders

Community leaders can encourage residents to participate in a governance system and to establish a vision for the future of the region. The case studies showed the importance of education and training for community leaders. In addition, they indicated that educating and training by experts and NGOs was important in helping community leaders establish a long-term vision for the region through cooperation with other stakeholders. However, in the Si-hwa case, the SSDC did not have specific education and training programmes for identifying and educating community members, which made it difficult to involve community leaders. By contrast, in the Buk-Gu case, education and training was developed for residents, which contributed to strengthening civil society by providing a succession of community leaders.

In addition, both case studies indicated that enhancing dialogue with residents, particularly hard-to-reach groups, required the support of other stakeholders. For example, involving the disadvantaged in the decision-making process needed the support of skilled professionals and credible voluntary organisations. Thus, the case studies showed that a collaborative governance system needed to invest more time and money in developing education and training and involving more actors, particularly hard-to-reach groups such as the disadvantaged.

9.2.6 Institutional Design

Social Learning Processes and Financial, Administrative and Legal Systems

With regard to institutional designs, the case studies showed that the collaborative processes on which they focused included both social learning for strategy-making and financial, administrative and legal support. The SSDC developed a variety of social learning through which stakeholders built up trust, produced a shared understanding of some issues, created new ideas and even changed the existing power relationships among themselves. The Buk-Gu case also had social learning programmes such as a city academy. Social learning programmes are not widespread in some areas in South Korea, and the case studies suggest that more participatory learning programmes need to be developed, with sufficient professional staffing and the financial support of local government.

In order to provide adequate financial, administrative and legal support for the projects, the SSDC enacted various regulations, including, in 2004, the detailed managerial rules for the SSDC, which included prescriptions for items such as the best possible consensus-building processes. In addition, the SSDC became a legal organisation in 2008, under the terms of Presidential Decree No. 19886 and MLTM Directive No. 2008-43. In Buk-Gu, the MLTM not only provided guidance, which since 2007 has included a detailed standard for pilot projects, but in 2008 it also revised the Act on the Planning and Utilisation of the National Territory (APUNT). In 2004, the Buk-Gu District Office (BDO) enacted the Ordinance for the Community-Improvement Project, which contributed to enhancing the stability and legitimacy of the projects. The BDO

also established, in 2003, a Community-Improvement Team to support the projects administratively; and in 2010 it has established the Community-Improvement Basic Plan for Buk-Gu.

Ensuring Legitimacy and Continuity

The case studies suggested that these institutional designs contributed to strengthening the continuity and effectiveness of agreement between stakeholders. When the SSDC was established in 2004, it had no legal status, because it was not underpinned by the legal system. This caused some stakeholders to deny the outcomes of the SSDC and increased the possibility of conflict over the agreements reached. Thus, the Presidential Decree and the Directive of the MLTM were enacted in order to ensure the legitimacy and continuity of the SSDC.

However, it was still debatable whether the SSDC had legitimacy in the eyes of the residents, because this needed both institutional design and resident participation. Thus, the SSDC began to involve residents in 2008. The Buk-Gu case, which was initiated by residents, also suggested that ensuring continuity of a governance system required adequate institutional design. For example, some interviewees mentioned that the ordinance underpinning the projects needed to be clear and detailed, because if it was not, a powerful actor might ignore it. In addition, the case studies suggested that institutional design contributed to enhancing the institutional capacity of stakeholders. Social learning processes and well planned institutional systems encouraged participants to promote their institutional capacity, which ensured the continuity of the governance system.

9.3 Consequences of Collaborative Governance for Sustainable Development

The case studies confirmed that collaborative governance was an effective system for implementing the principles of sustainable development. Most interviewees in the case study areas said that the concept of sustainable development was based on a collaborative governance framework. In particular, with regard to a question⁷⁷ about the biggest challenges for sustainable urban development over the next 10 years, the achievement of a long-term vision through a consensus-building process was focused on.

Against this background, this section attempts to answer the following research question: What consequences does collaborative governance have for sustainable development in urban planning in South Korea? The previous section confirmed that the characteristics of urban planning in South Korea corresponded roughly to the six elements of collaborative governance, despite some limitations. This section explores, through the case studies, the relationship between sustainable development and collaborative governance, using the six elements of collaborative governance and six principles of sustainable development. Chapters 7 and 8 already have shown in detail the contribution of collaborative governance to sustainable development. Thus, this section answers the research question by comparing the two case studies and discussing some issues.

⁷⁷ This question was answered by 32 supplementary interviewees whose views were collected in November and December 2009. With regard to this question, 12 interviewees suggested the importance of achieving a long-term vision through a consensus-building process; eight focused on the participation of residents and the support of government; six stressed the importance of institutional capacity of stakeholders; and six suggested actions for climate change.

9.3.1 The Conservation of the Environment

The Contribution of Collaborative Governance to the Conservation of the Environment

The case studies indicated that collaborative governance contributed to the conservation of the environment, despite some criticisms that suggested there might have been environmental degradation. In the Si-hwa case, there was obvious evidence of this contribution: for example, the SSDC established the ecological networks before the establishment of a land utilisation plan; it improved the water and air quality dramatically by investing a great deal of money and effort; it endeavoured to minimise the negative influence of development through continuous monitoring and feedback; and it established and implemented a long term vision of an ecological tourist city. Despite these efforts, however, the SSDC was criticised for not involving residents in the process. This criticism caused a loss of legitimacy for the outcomes of the SSDC. Some environmental NGOs who were particularly concerned with environmental sustainability denied the outcomes, criticising the SSDC for developing the Si-hwa area.

In the Buk-Gu case, there was a low level of satisfaction with the treatment of the environment compared with other concerns. Five interviewees out of 19 suggested that the collaborative outcomes had little to do with the improvement of the environment, although other interviewees expressed positive views. With regard to this issue, some interviewees from the local councillors, local government, experts and the public corporation stated that the importance of the environment had begun to be recognised after the community-improvement projects were extended to the liveable city projects, which had a larger scale and more stakeholder involvement. They indicated that,

through communication with residents, environmental NGOs and experts had endeavoured to incorporate environmental values into the long-term vision for the liveable city projects. The NGO members were aware of environmental catastrophes that had been caused by global climate change and environmental degradation in urban areas. This suggested that if environmental NGOs helped stakeholders recognise the importance of environmental sustainability, the outcomes of collaborative governance could be improved in this respect. In addition, some residents in Mun-hwa Dong, who recognised the importance of the environment through social learning processes, had endeavoured to harmonise their living environment with the natural environment, even though at first it was difficult to conserve the environment in urban areas.

The Importance of the Environment in Urban Areas

The case studies dealt with the question of whether the environment was important in urban areas as well as rural ones. The literature regarded the urban environment as valuable, citing examples of the biodiversity of a variety of habitats in urban brownfield sites (Jones and Evans, 2008; Evans, 2002). In accordance with this, all interviewees in supplementary interviews agreed that the principles of sustainable development were the same in both urban and rural areas, although the approach adopted needed to reflect the specific situations of the region or regions concerned. The interviewees suggested that environmental sustainability needed to be pursued in both rural and urban areas with, if necessary, different approaches reflecting the opinions of residents and a long-term regional vision. In particular, the Buk-Gu case suggested that urban areas needed to balance the conservation of the environment with pressure for further development.

9.3.2 Sustainable Economic Growth

The Contribution to Sustainable Economic Growth

The aim of economic sustainability is to change current patterns of economic growth into more sustainable ones, incorporating environmental and social concerns in an economic framework (Wheeler, 2004; Matoba, 2003; Harris, 2000). The case studies indicated that collaborative governance did contribute to sustainable economic growth, establishing a long-term vision and integrating the diverse perspectives of sustainable development. In particular, most interviewees in the case study areas suggested that establishing and implementing a long-term vision contributed to the development of the regional economy. Si-hwa aimed to become an ecological tourist centre for Northeast Asia through the Si-hwa MTV project and the Song-san Green City project. This long-term vision was expected to bring about immense economic benefits, for example, 5.2 trillion won (£ 2.5 billion) per year in construction and nearly 100,000 persons per year in employment.

The Mun-hwa Dong projects established a long-term vision of a cultural community with poems and pictures. The stakeholders endeavoured to connect the community-improvement projects to other specific regional schemes, such as the Gwang-ju Biennale, in terms of their future vision. Gwang-ju Metropolitan City decided to invest 20 billion won (£ 10 million) in implementing a Mun-hwa Dong project and set out to incorporate their vision of the project into the Urban Basic Plan. In addition, a resident interviewee indicated that the community-improvement projects also contributed

indirectly to the local economy by improving their living conditions and establishing a viable community. This resulted in a positive effect on house prices indirectly.

How to Cope with Harmful Effects of Development on the Environment

Most interviewees in the case studies gave positive opinions about the effects of development on the environment. The SSDC had endeavoured to strengthen monitoring and feedback about environmental degradation. In addition, their environmental long-term vision had been to improve the water and air quality of the Si-hwa area by investing a great deal of money. The Buk-Gu case also included projects such as the environmental improvement of residential areas.

Despite these positive trends, however, there were still criticisms. In the Si-hwa case, there were concerns about overpopulation and traffic congestion, even though research had shown that the influence of development on them was trivial. This suggested the importance of a consensus-building process, undertaken among stakeholders through social learning, with regard to environmental issues. In particular, experts had an important role in dealing with specific issues and helping stakeholders establish a long-term vision. In the Buk-Gu case, there were some concerns about regeneration schemes, where profit might take precedence over other matters such as the environment, because regeneration schemes could result in the demolition or modification of community-improvement projects. Thus, the Buk-Gu case suggested that these projects needed to be harmonised with urban regeneration schemes in order to combine the enhancement of the living environment with the pursuit of economic profit.

9.3.3 Fulfilling the Need for Equity

The Contribution to Fulfilling the Need for Equity

The case studies indicated that, compared with other concerns, there was a low level of satisfaction with the degree of equity achieved. Seven out of 16 interviewees in Si-hwa and 7 out of 19 in Buk-Gu stated that collaborative outcomes had little to do with the achievement of equity. However, other interviewees confirmed that collaborative governance did contribute in some ways to raising the level of equity, and they offered in evidence the facts that the Si-hwa case had selected the best possible consensus-building process, balancing power relationships among stakeholders, and that the Buk-Gu case had improved dwellings for residents and developed programmes for community harmony. The low level of satisfaction with the degree of equity achieved in both case studies was attributed to a lack of sufficient resident participation, particularly by the disadvantaged. To cope with this weakness, both governance systems began to involve residents, including the disadvantaged. This contributed to minimising potential conflict, producing better outcomes and working towards a viable community.

Satisfying the Needs of the Disadvantaged

In the Si-hwa case, the SSDC has involved residents since 2008 in order to rebut criticisms about a lack of resident participation. In particular, the SSDC has endeavoured to establish a residents' resettlement plan for the Song-san Green City project by organising a task force which involved some residents as members. Nevertheless, residents, particularly the disadvantaged, were not satisfied with the

outcomes of the SSDC's work, because the representatives chosen by residents would not necessarily include representatives from the disadvantaged, and because the outcomes had to comply with the current law. Thus, the Si-hwa case indicated that coping with social equity issues needed the involvement of the disadvantaged and the taking of wider measures to address their specific problems through institutional design.

In the Buk-Gu case, the disadvantaged were not involved in the Mun-hwa Dong projects at first, because the main leaders of the projects did not recognise the importance of their participation and because it was assumed that the economically and socially disadvantaged did not have sufficient time and interest to participate in the decision-making process. However, a serious conflict between the residents' committee and the disadvantaged forced the leaders to recognise the importance of working with the disadvantaged. The community leaders endeavoured to communicate with them, strengthening publicity and feedback to them through regular contact and putting forward their long-term vision for the area. They succeeded in reaching agreement with the disadvantaged on specific issues and in establishing a community. This suggested that involving the disadvantaged contributed to achieving intra-generational equity⁷⁸.

Pursuing a Long-Term Vision for the Next Generation

The case studies suggested that establishing and implementing a long-term vision through a collaborative process was an essential key to the fair distribution of resources between present and future generations. A long-term vision not only integrated diverse

⁷⁸ 'Intra-generational equity' focuses on social justice within one generation, while 'inter-generational equity' pursues fairness in relations between the different generations of children, youth, adults and seniors in terms of the use of resources (Selman, 1996: 11).

perspectives, but also prevented a large proportion of resources from being exhausted without benefiting the next generation. In the Si-hwa case, the MTV project established a long-term vision to improve industrial structure for the next generation, despite some concerns about it having a negative influence on the current industrial situation of the area. This was because it was understood that the existing industrial complex would gradually become empty and polluted, due to the lack of capital and up-to-date technology, unless the MTV project with a long term vision could be implemented.

In the Buk-Gu case, if there were no long-term strategy for the region, urban regeneration schemes might negate the results of community-improvement projects, leading to a breakup of the community. The Mun-hwa Dong projects suggested that establishing and implementing a long-term vision might contribute to the quality of the next generation's life, harmonising the community-improvement projects with urban regeneration schemes and other specific regional schemes. Thus, a long-term vision can be regarded as a key to satisfying inter-generational equity.

Through this analysis, the case studies confirmed that satisfying the demand for equity required the support of government as well as the participation of residents. The government needed to provide financial, administrative and legal support, strengthening publicity and feedback to the residents, even though it had difficulty in obtaining sufficient resources to satisfy all the other regions with similar issues. Thus, the case studies suggested the importance of high institutional capacity in government, because this capacity would encourage government to cooperate with other stakeholders and to take measures to address the above issue in aiming to achieve greater equity.

9.3.4 Improvement of the Quality of Life

The Contribution to the Improvement of the Quality of Life

The highest level of satisfaction in the case studies was with the enhancement of the quality of life, as compared with other principles of sustainable development. Fifteen out of 16 interviewees in Si-hwa and 18 out of 19 in Buk-Gu said they were ‘very satisfied’ with this aspect of the projects. This suggested that collaborative governance contributed greatly to enhancing the quality of life in the case study areas.

In Si-hwa, the SSDC decided, through collaborative discourse, to invest all profits in improving the quality of water and air. In addition, the long-term vision of an ecological tourist city included a wide range of themes for enhancing the quality of life: for example, the Song-san Green City project would be a city of low population density and would have green transport and a coastal park. However, there was criticism of the MTV project, in that the project might damage the quality of workers’ lives in the existing industrial complex. The Si-hwa case suggested that tackling this issue needed the participation of residents and experts who had practical knowledge for the region.

The Buk-Gu case suggested that the community-improvement projects enhanced the quality of life, focusing on the importance of the participation of residents and the establishment of a long-term vision. Enhancing the quality of life required the participation of various stakeholders, particularly community members, because of their practical knowledge. In addition, it needed a long-term strategy rather than ‘one-off’ events or short-term physical improvement.

The Importance of Resident Participation

The case studies indicated that the participation of residents influenced the quality of life, because residents had a great deal of practical knowledge through everyday experience of their living places and because their high institutional capacity, established through participation, would steadily enhance the quality of life. However, increasing resident participation could not in itself guarantee better outcomes, because if residents pursued their own interests, their participation might have the opposite effect. Thus, the case studies suggested the importance of the quality of participants and particularly the institutional capacity of residents. With regard to promoting the institutional capacity of residents, the case studies showed the benefits of investing substantial amounts of time and effort in developing education and training programmes, and in encouraging experts and NGOs to help residents establish a long-term vision.

The case studies showed also that maintaining a high quality of life required monitoring and feedback about collaborative outcomes as well as continuous maintenance of a collaborative governance system. Thus, in the Si-hwa case, there was a great deal of discussion about the ecological cultural campaign to enhance the quality of life through a long-term strategy. With regard to the main body of this campaign, the SSDC discussed the necessity of a centre or a foundation which would conduct the campaign and connect it with the existing plans of local governments in the Si-hwa area. The Buk-Gu case also suggested the establishment of a foundation which would operate the community-improvement projects and monitor them after completion.

9.3.5 The Enhancement of Participatory Democracy

The Contribution to the Enhancement of Participatory Democracy

The case studies suggested that collaborative governance contributed to the enhancement of participatory democracy, particularly through consensus-building based on a bottom-up process. Most interviewees thought highly of participatory democracy, despite the time and effort involved. In the Si-hwa case, the SSDC pursued a bottom-up approach, involving various stakeholders. However, the SSDC was criticised for involving local councillors instead of residents in 2004. This decision caused a serious conflict between the SSDC and residents. The criticism forced the SSDC to involve residents, and this has been done since 2008. However, the SSDC was still criticised for an imbalance of power relationships. Thus, the Si-hwa case suggested that the SSDC needed to involve more new stakeholders, particularly from residents, NGO members and experts. It also suggested that the SSDC needed to strengthen communication with residents through publicity, education, monitoring and feedback.

In the Buk-Gu case, residents took the initiative in drawing up the community-improvement projects and implementing them. The residents' committee of Mun-hwa Dong played an important role in representing residents' opinions through a bottom-up process. The high institutional capacity of the Mun-hwa Dong committee members encouraged residents to become involved directly, indirectly and financially in a voluntary working system. The Buk-Gu case suggested that the quality of participatory democracy depended on the extent of resident participation. The successful outcomes of the projects brought about the participation of more actors in subsequent projects, which

contributed to the growth of participatory democracy. However, the Mun-hwa Dong projects were faced with conflict due to the exclusion of the disadvantaged. This conflict made the stakeholders of Mun-hwa Dong determined to communicate with the disadvantaged. Thus, the Buk-Gu case suggested that the projects needed to involve various stakeholders, including the disadvantaged, through regular contact.

Ideal and Realistic Participatory Democracy

The case studies showed that participatory democracy contributed to enhancing the quality of participation, building mutual trust among stakeholders, creating better outcomes and minimising potential conflict. However, the case studies indicated the danger of entertaining views of participatory democracy that are too optimistic. For example, participatory democracy, which takes so much time and effort, might not be appropriate in all cases; some stakeholders might not be able to contribute their opinions, due to a lack of time and money; some participants might pursue self-interest instead of the collective interest and might exclude other actors such as the disadvantaged; and participatory democracy does not automatically mean that sufficient funding and adequate institutional systems will be made available by government. Thus, the case studies suggested that participatory democracy needed to be harmonised with representative democracy, because representative democracy has the ability to ensure efficiency, accountability and government support. For example, the case studies showed that the local councillors played a significant role in obtaining financial, administrative and legal assistance from the governments.

9.3.6 The Establishment and Implementation of a Long-term Vision

The Contribution to a Long-term Vision

The case studies confirmed that there was great satisfaction with the way in which a long-term vision was established and implemented. In the Si-hwa case, the SSDC established a long-term vision of an ecological tourist city through a collaborative process which included the development of the coastal culture and environment and the improvement of the industrial structure, connecting various projects in the Si-hwa area.

The Buk-Gu case suggested that the community-improvement projects required the consensus of a long-term vision in order to create better outcomes and to secure stability and continuity. Establishing a long-term vision encouraged residents to participate in the projects, to recognise what local issues were, and to share understanding about how to deal with them. The Buk-Gu case suggested that a long-term vision was a vital key to the continuing success of the projects, giving residents a dream of how their community might be in the future.

Resident Participation and the Institutional Design of Government

The case studies suggested that establishing and implementing a long-term strategy required the participation of residents who had practical knowledge through their everyday experience of a locality.

In Si-hwa, the SSDC did not communicate with residents when they first established a long-term vision. This weakened the legitimacy of the collaborative outcomes and caused serious conflicts. It suggested that reaching a consensus about a long-term vision through a bottom-up process was the key to acquiring legitimacy for a collaborative governance system. The experts and NGOs needed to play an important role in encouraging residents to establish a long-term vision through participation.

In Buk-Gu, the successful outcomes at Mun-hwa Dong were attributed to the establishment of the long-term vision of a cultural community with poems and pictures through residents' direct and indirect participation in the projects. The residents' committee of Mun-hwa Dong played a significant role in building a consensus about a long-term vision and implementing it through subsequent projects. However, some projects in Buk-Gu were criticised for merely setting up one-year programmes without a long-term vision, because they did not recognise the importance of the latter.

Along with resident participation, the institutional design of government played an important role in establishing and implementing a long-term vision. In the Si-hwa case, the long-term vision was implemented through a comprehensive development plan which included the Si-hwa MTV Project and the development of the Song-san Green City project. The Buk-Gu case also sought to integrate the resident-driven community-improvement projects with the government-driven urban planning system to implement the long-term vision. An ecological cultural campaign, to be conducted by a foundation established for the purpose, was recommended to implement the long-term strategy.

9.4 The Role of Government in a Collaborative Governance System

The previous section confirmed that the elements of collaborative governance contributed to the implementation of the principles of sustainable development in urban planning in South Korea. In particular, the case studies stressed that the support of government, along with the participation of residents, was an essential factor for developing a collaborative governance system for sustainable development. This section focuses on the role of government, seeking to answer the following research question: In a collaborative governance era, what role does government play in working towards sustainable development?

Several authors (Durose and Rummery, 2006; Carnoy and Castells, 2001; Pierre, 2000b) state that government plays an important role in a governance system, adapting itself to new circumstances through decentralisation and public involvement. The case studies identified the role of government as an active facilitator, confirming the importance of the horizontal cooperation between central, regional and local governments where the central government supported a governance system through laws, regulations and guidance; the regional government played an important role in mediating conflicts between local governments and establishing a long-term vision; and the local government implemented the projects through cooperation with residents.

Despite these positive roles, however, the case studies suggested that excessive intervention by governments might cause severe problems, such as a loss of legitimacy derived from civil society and deterioration in the quality of the outcomes. They

suggested that the role of government needed to be limited to that of an active facilitator, strengthening communication with other stakeholders, particularly residents. The experts and NGOs needed to play a role in mediating conflicts between government and residents. However, most interviewees said that the continuous support of government was fundamental to maintaining a governance system and producing better outcomes for sustainable development. Based on this background, this section examines the influence of government on implementing the principles of sustainable development and then explores the relationship between government and residents.

9.4.1 The Influence of Government on the Principles of Sustainable Development

This section looks at the role of government in implementing the following principles of sustainable development: the conservation of the environment; the pursuit of sustainable economic growth; the satisfaction of the demand for equity; the improvement in the quality of life; the enhancement of participatory democracy; and a long-term vision.

To begin with, the case studies indicated that the role of government was important in conserving the environment. In the Si-hwa case, the MLTM encouraged the SSDC to concentrate on the conservation of the environment by involving the environmental NGOs in their work and providing sufficient detailed regulations, guidance and financial assistance. The regional and local governments also played a significant role in helping the SSDC establish and implement a long-term vision of an ecological tourist city.

The Buk-Gu case suggested that the central government needed to provide a continuous budget for developing education and training programmes, and to give the environmental appraisal criteria of the pilot projects more weight in order to encourage residents to recognise the importance of the environment. In addition, it identified the importance of regional and local governments in implementing a long-term vision, because they played a significant role in incorporating the resident-driven Mun-hwa Dong projects into the government-driven urban planning system such as the Basic Urban Plan.

The governments of the case study areas endeavoured to create employment and to develop the regional economy through the implementation of the projects. In particular, the regional and local governments put an emphasis on the sustainable economic growth of the region, because it would contribute to the development of their cities and the well-being of their citizens. In the Si-hwa case, the SSDC established the regional vision of an ecological tourist city which was related to the integrated development plan for the west coastal region of Gyeong-gi Province. With regard to this, the Si-hwa case study suggested that the regional government would play an important role in establishing a long-term vision by arranging to make a joint investment with three neighbouring local governments.

In the Buk-Gu case, the regional government contributed by investing a large budget in the Mun-hwa Dong projects and by incorporating the resident-driven projects into the urban planning system. However, with regard to environmental degradation due to development, the two case studies suggested that governments needed to implement

various measures: for example, in the Si-hwa case, carrying out continuous monitoring and feedback with the support of NGOs, experts and residents in order to minimise negative environmental effects; and in the Buk-Gu case, improving institutional design in order to combine the enhancement of the living environment of the community with the pursuit of economic profit.

The case studies indicated that fulfillment of people's aspirations for equity needed both the support of governments and the participation of residents, particularly the disadvantaged. In the Si-hwa case, despite the involvement of residents in the SSDC, this aspect of the outcomes was limited, because the SSDC's decisions could not go beyond the framework of current law. Thus, the Si-hwa case suggested that the central government needed to cope with equity issues through institutional measures to address the problems of the disadvantaged, at the same time bearing in mind the position of other regions with similar issues.

In the Buk-Gu case, governments were not interested in the involvement of the disadvantaged. This made it difficult to carry out some projects such as the improvement of a permanent rental apartment building for the disadvantaged. Thus, the Buk-Gu case suggested that central government needed to improve this situation by changing its criteria for pilot projects to ones that would require practical knowledge of the needs of the disadvantaged and would minimise potential conflict. In addition, the local government needed to invest some money in developing specific education and training programmes, in order to encourage the participation of the disadvantaged and to establish a harmonious community.

The case studies indicated that the financial, administrative and legal support of governments contributed to enhancing the quality of the living environment. In the Si-hwa case, the SSDC decided to re-invest all the profits from the Si-hwa project for this purpose. This was the result of an agreement made between public and private sectors. However, most interviewees suggested that enhancing the quality of life required the participation of residents as well as the support of government. Thus, the Si-hwa case suggested that the governments needed to strengthen communication with residents through publicity, monitoring and feedback and to involve them in the process, because an improved quality of life depended on the extent of resident participation.

The Buk-Gu case also indicated that enhancing the quality of life needed the participation of residents and the support of government. It showed that government had supported the community-improvement projects through institutional designs such as a support team, a support centre, an ordinance, and specific education and training programmes. These measures helped residents participate in the projects, establish a long-term vision and enhance the quality of life.

The governments contributed to the enhancement of participatory democracy by supporting a bottom-up process. In the Si-hwa case, the central government involved various stakeholders and codified the best possible consensus-building processes. These efforts contributed to the enhancement of participatory democracy. In addition, central government fostered the stability of the SSDC by establishing Presidential Decree No. 19886 and MLTM Directive No. 2008-43. However, despite these efforts, the Si-hwa case suggested that government needed to communicate with residents by involving

more community leaders in the SSDC and by strengthening the publicity, monitoring and feedback to residents.

The Buk-Gu case also confirmed that the financial, administrative and legal support of government encouraged residents to participate in the projects and to tackle issues through a bottom-up approach. It suggested that government needed to improve institutional designs in order to induce the participation of stakeholders, including the disadvantaged, and NGOs from various fields. The case studies also indicated that local councillors contributed to ensuring the support of government, harmonising representative with participatory democracy.

The case studies confirmed that establishing and implementing a long-term vision depended on cooperation between residents and government. The role of experts and NGOs was also important, because they linked residents to government, helping to establish the vision. The Si-hwa case suggested that Gyeong-gi Province would play an important role in integrating the development plan for the west coastal region by creating a joint investment and a new confederation of local governments. It indicated also that government needed to encourage residents to participate in establishing a long-term vision in order to give the vision legitimacy.

In the Buk-Gu case, the long-term vision of Mun-hwa Dong was established by the residents, in cooperation with governments and experts. However, implementing a long-term vision needed the institutional designs of regional and local governments, because the resident-driven community-improvement projects needed to be harmonised with the

government-driven urban planning system if they were to acquire sufficient financial, administrative and legal resources. Gwang-ju Metropolitan City invested a large amount of money in implementing the Mun-hwa Dong project, incorporating the projects into the Basic Urban Plan.

9.4.2 The Relationship between Government and Residents

The previous section showed the influence of government on implementing the six principles of sustainable development. This section explores the relationship between government and residents, because the institutional designs of government were strongly linked to resident participation. A central government interviewee explained their relationship metaphorically, saying:

The participation of residents was the contents, and the support of government was a bowl to fill with them. If we did not have a bowl or had a broken one, effective public involvement would have ended in empty talk (written reply on 24th November 2009).

The case studies indicated that governments encouraged residents to participate in a governance system, providing adequate institutional designs and implementing agreements, because governments wanted to obtain legitimacy for its activities and to enhance the quality of government policies through resident participation. However, a question arises as to what would happen if government did not recognise the importance of the participation of residents. In the Si-hwa case, central government and the NGOs took the initiative in selecting participants. They involved local councillors instead of residents at first. This caused criticism about the lack of resident participation, which

cast doubt on the legitimacy of the collaborative outcomes. As a result, the SSDC has involved residents since 2008. Despite this effort, there was still some criticism of a lack of communication with residents. Thus, the Si-hwa case suggested that government needed to prepare some measures to strengthen regular communication with residents, for example, through publicity, education, monitoring and feedback. This was related to the high institutional capacity of government. In addition, the Si-hwa case suggested that NGOs and experts needed to play an important role in helping residents create ideas and mediating conflict between governments and residents.

In contrast to Si-hwa, the Buk-Gu case indicated that residents with high institutional capacity succeeded in tackling future issues in cooperation with other stakeholders. However, the Buk-Gu case also focused on the importance of high institutional capacity of government, warning about inherent risks such as excessive government intervention. It suggested that a high institutional capacity of government could be obtained through continuous interaction with other stakeholders and education and training programmes for government officials. The case studies showed that strengthening communication between residents and government contributed to enhancing the institutional capacity of both residents and government. In particular, they focused on the role of education and training, which not only educated new community leaders, but also encouraged various stakeholders, such as government officials, experts and NGO members, to learn how to communicate more effectively. In addition, in order to prevent government from seeking to control a collaborative network, the case studies suggested the need for an independent organisation which would manage the budget and operate the projects.

9.5 Suggestions for Enhancing Future Collaborative Governance

The research identified the characteristics of collaborative governance; it examined the contribution of collaborative governance to implementing the principles of sustainable development; and it explored the role of government as a facilitator. Drawing on these findings, this section discusses the question: what is needed to enhance the quality of future collaborative governance? With regard to this question, all interviewees made suggestions, including establishing a long-term vision, strengthening communication with residents, promoting interdependence, involving a broad range of stakeholders, maintaining the support of government, and enhancing the institutional capacity of stakeholders. This section summarises them in the following three suggestions.

9.5.1 Establishing a Long-term Strategy through a Bottom-up Approach

The case studies indicated that the most important thing for further collaborative governance was to establish a long-term strategy through a bottom-up approach. This suggested that all stakeholders needed to participate in discussion with equal empowerment, to build up mutual trust among stakeholders and to create a long-term strategy for the region. The success of Buk-Gu over time was attributed to its establishing and implementing a long-term strategy through collaboration. In contrast, the initial long-term vision for Si-hwa was criticised for a lack of participation by residents. The SSDC in Si-hwa has since endeavoured to overcome this by involving residents and by strengthening regular communication with all stakeholders.

However, the case studies show it was not easy to establish a long-term strategy through a bottom-up approach. The case studies confirmed that the participation of residents and the support of government played an important role, in that the quality of a long-term vision depended on the extent of the institutional capacity of residents and government. In particular, establishing a long-term vision needed community leadership which encouraged residents to participate in the projects. It also needed the support of experts and NGOs to provide professional knowledge and participatory skills.

9.5.2 Recognising Interdependence and Involving Various Stakeholders

Every stakeholder is liable to pursue their own interest instead of the public interest, even though a collaborative governance system may be pursuing a common goal. With regard to this dilemma, the case studies indicated the importance of interdependence among stakeholders, because stakeholders with different purposes endeavoured to cooperate with each other when they recognised their interdependence. This suggested that recognising interdependence was a key factor in establishing a governance system. For example, in the Si-hwa case, the SSDC was established by the NGOs and central government. The environmental NGOs needed the support of the public sector to improve the quality of the air and water of the Si-hwa area, while central government needed to obtain legitimacy and practical knowledge from public involvement. In the Buk-Gu case, the residents' committee of Mun-hwa Dong cooperated with other stakeholders such as the CCCPP and local government. Through collaboration, the committee compensated for its initial weaknesses, such as a lack of specialised knowledge and networks, and then produced better outcomes.

However, the case studies indicated that interdependence needed to be based on a long-term vision and public interest, because a governance system without them might be influenced to pursue the particular interests of some powerful actors. The case studies also suggested that maintaining a collaborative governance system required inclusive stakeholder involvement as well as interdependence. For example, in Buk-Gu, the detailed discussion of specific issues needed the involvement of experts and NGOs from various fields. In addition, the Si-hwa case showed that when representatives of residents did not participate in the decision-making process, collaborative outcomes could lack the legitimacy bestowed by civil society. However, inclusive stakeholder involvement cannot ensure the success of a governance system unless it is based on mutual trust. The next section deals with the importance of trust-building.

9.5.3 Trust-building through Communication

The case studies suggested the importance of trust-building, because trust was the fundamental element of a collaborative governance system and the core of the institutional capacity of stakeholders. Trust-building through dialogue and interaction promoted the institutional capacity of stakeholders, which encouraged stakeholders to tackle future issues through a consensus-building process. In particular, the case studies focused on trust-building between residents and government, because these two groups played an important role in developing a collaborative governance system and creating better outcomes. The case studies suggested that government needed to communicate with residents in horizontal relationships and to provide continuous financial,

administrative and legal support. In turn, residents also needed to cooperate with government providing practical knowledge of a locality. The case studies confirmed that a horizontal relationship between them could be established through equal empowerment and wider access to potential participants, which required suitable institutional designs from government.

The case studies suggested the importance of strengthening communication among stakeholders through various channels. For example, the Si-hwa case showed the importance of education and training programmes for potential participants, while the Buk-Gu case showed the value of regular contact with the disadvantaged through publicity, monitoring and feedback, to minimise potential conflict and to produce better outcomes by trying to understand and satisfy their needs. The case studies also suggested that the extent of trust depended on the support of experts and NGOs.

9.6 Conclusion

The research conducted through the case studies showed that the characteristics of urban planning in South Korea corresponded to the six elements of collaborative governance in the fields of conflict mediation and collaborative policy-making in urban planning, and that collaborative governance is an effective system for implementing the principles of sustainable development. It also explored the role of government as a facilitator. In particular, the case studies showed that collaborative governance systems evolved, compensating for initial weaknesses in the process, in order to implement the principles of sustainable development. However, the evolution of collaborative governance

required the maintenance of a governance system. Thus, the case studies focused on the importance of developing the institutional capacity of stakeholders, particularly that of residents and government, because the participation of residents and the support of government were fundamental to maintaining and developing collaborative governance continuously in South Korea. The research showed also that the quality of collaborative governance depended on the following factors: establishing a long-term strategy through a bottom-up approach; recognising interdependence between stakeholders; involving a broad range of stakeholders by giving wider access to potential participants; and building trust through communication. However, there were still doubts about the effectiveness of collaborative governance. Thus, the next concluding chapter will discuss some issues related to these doubts, linking key findings to them.

CHAPTER 10

CONCLUSION

10.1 Introduction

There are arguments for and against the concept of sustainable development and how to implement its principles. This thesis has not set out to focus on these arguments but rather to examine the relationship between collaborative governance and sustainable development, asking whether collaborative governance is an effective system to implement the principles of sustainable development in urban planning in South Korea.

Two case studies were undertaken in South Korea: one in the field of conflict mediation at the Si-hwa projects; and the other in the field of collaborative policy-making at the Buk-Gu projects. The case studies have shown that collaborative governance is a fundamental framework for sustainable development because, as a consensus-building process, it integrates diverse aspects of sustainable development through communicative interaction.

This chapter summarises the main conclusions on the research topics that were reached by drawing on the findings of the case studies. It then discusses possible weaknesses of collaborative governance, such as unbalanced power relationships. Next, the chapter

considers the contribution of the thesis to the study of collaborative governance in urban planning. Finally, there is a brief evaluation of the research that has been undertaken, a consideration of its limitations, and a discussion of possibilities for further research in this area of study.

10.2 The Main Conclusions on the Research Topics

This thesis has dealt with the following four research topics through the two case studies in South Korea: the characteristics of urban planning in South Korea that relate to collaborative governance; the consequences of the elements of collaborative governance for the principles of sustainable development in urban planning; the role of government in working towards sustainable development in a collaborative governance era; and the implications of this research for future studies of collaborative governance.

With regard to the characteristics of urban planning, it was debatable whether the urban planning system in South Korea involved adequate collaborative features, because until the 1990s, despite some successful collaborative practices, it was government and experts who had taken the lead in deciding on and implementing most urban planning projects, including satisfying minimum legal requirements such as public hearings (Kwon *et al.*, 2006; Kim, 2005; Lee, 2005). In addition, some supposedly collaborative measures, for example urban planning board reviews, could not take account of the views of residents, because representation was mostly confined to government officials, experts and some NGO members and normally came at the final stage of the decision-making process (Lee, 2005). Through the case studies, however, the thesis has shown

that, in the 2000s onwards, urban planning in South Korea has reflected the six elements of collaborative governance identified in the literature in the two fields of conflict mediation and collaborative policy-making. It has shown also that among the six elements, promoting the institutional capacity of stakeholders has been the most important aspect of developing a collaborative governance system.

The case studies have shed light on the consequences of collaborative governance for sustainable development. They suggest that the elements of collaborative governance in urban planning have contributed to implementing the principles of sustainable development, even though interviews with representatives of stakeholders in each of the case study areas have indicated there was dissatisfaction with the treatment of some principles, such as social equity. In these principles of sustainable development where there was a lack of satisfaction, the case studies showed that the characteristics of collaborative governance were evolving towards sustainable development, and that efforts were being made to overcome and to compensate for initial weaknesses in the collaborative governance processes. This suggests that a collaborative governance system may contain within it the ability to improve in response to criticism. In the case studies, the criticism was that some of the principles of sustainable development were not being met at the early stages of the collaborative processes. For collaborative governance to evolve was shown to require the maintenance of a governance system which depended mainly on the institutional capacity of stakeholders, particularly that of residents and government, including effective leadership. This suggests that possible failures of collaborative governance can, in reality, be resolved if a collaborative

governance system is maintained which promotes the institutional capacity of stakeholders.

With regard to the role of government in a collaborative governance era, some have argued that government as a facilitator has played an important role in enhancing the quality of participation and implementing collaborative outcomes through various institutional designs (Durose and Rummery, 2006; Carnoy and Castells, 2001; Stoker, 1998). Others have asserted that government sometimes acts as a controller in supposedly collaborative processes, maintaining strong elements of past hierarchical practice (Kim, 2008; Futo *et al.*, 2006; Demetropoulou *et al.*, 2006). The case studies show that in these examples in South Korea, the government has acted as a facilitator in the collaborative governance system and has played an important role in implementing the principles of sustainable development, as well as in developing the process of collaborative governance. It has also been shown that the role of central government in relation to these projects has changed through decentralisation and public involvement; and that local government, through the delegation of central power, has acquired an enhanced role in cooperation with other stakeholders, including residents. The thesis suggests that the role of central, regional and local governments needs to be defined as that of an active facilitator, helping to strengthen communication with other stakeholders and providing sufficient financial, administrative and legal support.

What conclusions can be drawn to aid future developments in collaborative governance? The case studies suggest it will be enhanced by: establishing a long-term strategy through a bottom-up approach; recognising interdependence between

stakeholders; inclusive involvement of stakeholders with wide access to potential participants; and building trust through regular and open communication.

However, there may still be doubts about the positive effect of collaborative governance, despite the generally successful outcomes reported in this and other research. For example: some people may not be satisfied with the collaborative outcomes; and some powerful actors may still aspire to take the lead by pursuing their own interests and excluding other voices. The next section discusses these issues.

10.3 Discussion

This section discusses some of the doubts expressed about collaborative governance in practice and considers how to cope with these using the findings from the research.

Dissatisfaction with Collaborative Outcomes

Some people may not be satisfied with the outcomes of collaborative governance, even though the outcomes contribute to implementing the principles of sustainable development. For example, in the Si-hwa case, an interviewee from an environmental NGO gave wholly negative answers about the collaborative outcomes of the SSDC's work for sustainable development. Instead, he valued the conservation of the environment above all other considerations. Moreover, he thought the SSDC lacked the legitimacy that derived from the support of civil society, because residents had not been involved from the outset. In the Buk-Gu case, the disadvantaged were not satisfied with

the collaborative outcomes of the Mun-hwa Dong projects at first and opposed the liveable city project of Mun-hwa Dong. It appeared they were not interested in the projects and it was claimed they did not participate due to a lack of time.

Both examples suggest there is a question as to whether a collaborative governance system can encompass the needs and points of view of everyone. Clearly, in these examples, it could not. In addition, satisfying the needs of all stakeholders in a collaborative governance system may not be the best decision from the point of view of a society as a whole, because that society might prefer a different decision but have no way of expressing this preference (Flynn, 2007). The case studies suggest that, despite dissatisfaction on the part of some stakeholders, collaborative governance is an effective system for satisfying the needs and interests of a diverse range of stakeholders, as well as for promoting the principles of sustainable development in urban planning. Even with its shortcomings, it is likely to be more effective in achieving acceptable outcomes than the top-down systems it seeks to replace.

How to Cope with the Limitations of Collaborative Governance

Collaborative governance can be established and maintained where stakeholders recognise their interdependence and build up mutual trust through dialogue and interaction. However, in a collaborative governance system, stakeholders may pursue the interests of their own organisations rather than the collective interest, even though they recognise their interdependence and agree to establish a formal collaborative system (Innes and Booher, 2004). The case studies suggest that the key to this dilemma is the adoption of a long-term vision based on public interest. The vision needs to be

established through social learning processes based on mutual trust between stakeholders, and its quality will be influenced by the level of the institutional capacity of stakeholders, particularly that of residents and government, which results from the extent of resident participation and the support of government.

Some actors may be reluctant to relinquish their power in favour of a collaborative approach and may seek to exclude the voices of other or potential stakeholders in the decision-making process. If government and experts exclude some groups, for example residents, then the collaborative outcomes of the process may not have legitimacy. In response to this limitation, the case studies indicate the importance of the institutional capacity of stakeholders in achieving balanced power relationships. However, promoting institutional capacity requires the cooperation of all stakeholders: residents need to participate directly and indirectly; government needs to establish adequate institutional designs, such as social learning programmes; experts and NGOs need to play their part in encouraging residents to participate in collaborative processes through professional knowledge and participatory skills; and all stakeholders need to communicate with each other, developing collaborative leadership. Good leadership will often be the key to achieving these balanced power relationships and minimising the risks posed by uncooperative partners with an agenda of their own.

There may always be a concern that government will seek to control a collaborative governance system, instead of working to facilitate it. Experience in many parts of the world suggests that government find it very difficult to follow the rhetoric of decentralisation and devolution. In this respect, the case studies show that residents

have an important part to play in keeping government ‘up to the mark’ by developing their own institutional capacity through continuous direct and indirect participation, and by strengthening their expertise and networks through cooperation with others, especially experts, NGOs and government. In particular, the case studies indicate that trust-building between residents and government is the most important thing, because trust encourages the two actors to communicate with each other horizontally and to share a long-term vision for their region. When residents offered practical ideas, endeavouring to compensate for their lack of expertise and networks, government tended to communicate with them, in order to obtain legitimacy and ideas about the region. Experts and NGOs played an important role in mediating potential conflict between residents and governments and in strengthening the links between them.

The Importance of Institutional Capacity for Ensuring Subsequent Successes

Successful collaborative outcomes may not guarantee subsequent success. Sometimes a collaborative governance system contains the seeds of potential conflict, despite excellent collaborative outcomes. Where this has happened, it has caused scepticism about collaborative governance. However, the goal of collaborative governance is not to solve conflicts, nor to make collaborative policy, though both can be by-products of the system. The case studies suggest that the main aim of collaborative governance is to promote the institutional capacity of stakeholders. High institutional capacity encourages stakeholders to tackle future issues and to establish a community with a long-term vision. The case studies confirmed that the high institutional capacity of all stakeholders was at the core of collaborative governance.

The thesis shows the importance of institutional capacity in the evolution of a collaborative governance system. Some scholars (Newman *et al.*, 2004; Harrison *et al.*, 2004) think that when the collaborative governance process fails to achieve agreement on specific issues, participants will be disappointed and will have a negative view of the effectiveness of the system. However, others (Innes and Booher, 1999a; Putnam, 1994) believe that the quality of a collaborative governance system depends on the level of the institutional capacity of stakeholders, rather than the ‘success’ or ‘failure’ of collaborative governance. High institutional capacity can be promoted through fair, open, inclusive, accountable and legitimate processes and can contribute to producing successful collaborative practices continuously through horizontal networks. The case studies show that a collaborative governance system will evolve towards sustainable development, and thus compensate for any initial weakness it may have shown in the collaborative governance processes. This evolution requires continuity and stability, which are qualities dependent on the high institutional capacity of stakeholders, particularly that of residents and government, as seen in the case studies. A high institutional capacity can result from public involvement and the support of government as a facilitator, both of which are based on continuous dialogue and interaction.

The thesis suggests also that if stakeholders with a high institutional capacity try to cooperate with each other and to build trust, evolution towards sustainable development may be accelerated. High institutional capacity has a positive influence on the quality of other elements of collaborative governance. The thesis confirms that the evolution towards sustainable development tends to be positive, even though there might be further conflicts in subsequent projects.

10.4 Contribution of the Thesis

The thesis has explained and analysed the characteristics of collaborative governance in the two fields of conflict mediation and collaborative policy-making in urban planning and has examined the relationship between collaborative governance and sustainable development, addressing four research questions. The most important aim of the thesis has been to show that collaborative governance, despite some limitations, is an effective means for implementing the principles of sustainable development. This thesis is the first one to investigate in detail the relationship between collaborative governance and sustainable development in urban planning. No researchers have previously examined this relationship using the methodology adopted in this thesis.

The thesis has contributed to the literature by confirming a paradigm shift in the urban planning system in South Korea from hierarchy to collaborative governance, as exemplified through the case studies. In particular, it has contributed to an understanding of how collaborative governance can work more effectively in a contemporary society. It has also examined the consequences of collaborative governance for sustainable development in the fields of conflict mediation and collaborative policy-making in urban planning. It has been shown that government played an important role in implementing the principles of sustainable development by facilitating the introduction and application of a collaborative governance system. The research has also shown how to bridge the gap between the theory and practice of collaborative governance by suggesting factors that would enhance the quality of future

collaborative governance: a long-term vision; interdependence; inclusive stakeholder involvement; and trust-building.

10.5 Evaluation and Future Research

Evaluation of the Research

The thesis has dealt with many issues related to sustainable development and collaborative governance through a review of the relevant literature and the case studies in South Korea. The literature showed that collaborative practices in South Korea had developed in the fields of conflict mediation and collaborative policy-making. Drawing on relevant literature about collaborative approaches in South Korea, two case study areas were selected in each field. The case studies were suitable for addressing the research questions and for examining issues of collaborative governance in practice.

The methodology for the case studies provided sufficient data to understand how collaborative governance has developed in urban planning in South Korea and how it has contributed to implementing the principles of sustainable development. The qualitative method of process-driven research was appropriate for examining the relationship between collaborative governance and sustainable development.

Detailed documentary analysis provided a framework for the in-depth interviews which in turn enabled an understanding of what stakeholders thought about specific issues. Supplementary interviews conducted seven months after the main interviews provided

further understanding of how collaborative governance evolved towards sustainable development.

The Limitations of this Research; the Need for Future Research

The thesis has shown how collaborative governance has contributed to implementing the principles of sustainable development in urban planning in South Korea; and how this collaborative system has evolved towards sustainable development, compensating for its initial weaknesses. However, some failures of collaborative practices in the world have indicated that collaborative governance is not the panacea for all possible shortcomings of public policies.

The question thus arises as to whether collaborative governance could produce successful outcomes in other fields of public policy, such as education or defence, and what elements of the system are needed in those fields. Most interviewees agreed that its application in other fields had the potential for better outcomes, but said it would need to include a high quality of interdependence, a long-term vision achieved through a bottom-up process, trust-building among stakeholders through social learning processes, and inclusive stakeholder involvement, particularly with resident participation and the support of government. Public policies in the fields of education and defence not only have a big influence on their stakeholders, but also need to obtain legitimacy from them. This interdependence based on public interest could enable a collaborative governance system in those public policy areas to be effective.

However, sometimes the development of public policies can establish a long-term vision through a top-down process rather than a bottom-up one; it may exclude some opponents among stakeholders, giving priority to government; and it may feature one-sided decision-making without dialogue, supposedly due to ‘urgent’ or ‘specific’ situations. Thus, subsequent studies in different fields of public policy would be helpful in assessing the wider applicability of collaborative governance in other areas, considering the specific characteristics of those fields.

In addition, the case studies examined the evolution of collaborative governance up to the year 2009. However, this represents only the beginning of a collaborative governance system in South Korea. For example, the SSDC will continue at least until 2022 and the characteristics of collaborative governance in the SSDC will evolve further over time. The community-improvement projects too will continue to develop more autonomously, due to intense decentralisation and further moves towards autonomy in local government. Thus, there is plenty of scope for future and further examination of both the evolution of collaborative governance and its contribution to sustainable development in the two case study areas.

Appendix 1: Interviewees and Other Sources for the Case Studies

1-1. List of Interviewees in the Si-hwa Case Study

1. A representative of the Si-heung Branch of the Korean Federation for Environmental Movement (KFEM)

1) Role: an NGO member of the Si-hwa Sustainable Development Council (SSDC)

2) Time & Place: 16:00-18:00, 14th April 2009, a meeting room in a Seoul office

2. A representative of the Network for Hwa-seong Coastal Environment Culture

1) Role: an NGO member of the SSDC

2) Time & Place: 16:30-18:30, 17th April 2009, a Café near An-san City Hall

17:00-17:20, 23rd November 2009 (telephone)

3. A representative of the An-san Branch of the Young Men's Christian Association (YMCA)

1) Role: an NGO member of the SSDC

2) Time & Place: 14:00-14:30, 15th April 2009, a room in the Song-san office

13:00-13:40, 18th November 2009 (telephone)

4. An An-san City contract worker responsible for wildlife conservation

1) Role: a former NGO member of the SSDC who is now against the SSDC

2) Time & Place: 13:00-14:00, 17th April 2009, an interview room in An-san City Hall

5. A representative of Song-san Myeon in Hwa-seong City (chosen by residents)

1) Role: a representative of residents as a speaker in the SSDC who has endeavoured to reflect the opinions of residents and to report back to residents

2) Time & Place: 13:00-14:00, 15th April 2009, a restaurant in Song-san Myeon

17:00-17:30, 24th November 2009 (telephone)

6. A representative of a residents' organisation in the Si-hwa area
- 1) Role: a representative of residents who has conducted an intense campaign against the Si-hwa Multi-Techno Valley (MTV) project
 - 2) Time & Place: 16:00-16:40 24th November 2009 (telephone)
7. A deputy director of the Ministry of Land, Transport and Maritime affairs (MLTM)
- 1) Role: a central government official who deals with the Si-hwa project
 - 2) Time & Place: 10:00-11:00, 13th April 2009, Gwa-cheon Government Complex
8th December 2009 (written reply)
8. A deputy director of the MLTM
- 1) Role: a central government official who was in charge of the Si-hwa project
 - 2) Time & Place: 11:00-12:00, 13th April 2009, Gwa-cheon Government Complex
9. A deputy director of Gyeong-gi Province
- 1) Role: a regional government member of the SSDC
 - 2) Time & Place: 15:00-15:30 24th November 2009 (telephone)
10. A director of Si-heung City
- 1) Role: a local government member of the SSDC
 - 2) Time & Place: 14:00-15:00, 16th April 2009, a room in Si-heung City Hall
20th November 2009 (written reply)
11. A director of An-san City (contract worker with expertise)
- 1) Role: a local government member of the SSDC
 - 2) Time & Place: 08:30-10:30, 16th April 2009, a room in An-san City Hall
10:30-11:10, 19th November 2009 (telephone)
12. A senior officer of the Hwa-seong Regional Development Office
- 1) Role: a local government member of the SSDC
 - 2) Time and Place: 6th May 2009 (written reply)

13. A local councillor of Si-heung City Council

1) Role: a local council member of the SSDC

2) Time & Place: 15:30-16:00, 16th April 2009, a room in Si-heung City Council offices

14. A local councillor of An-san City Council

1) Role: a local council member of the SSDC

2) Time & Place: 11:00-12:00, 16th April 2009, a room in An-san City Council offices

15:20-15:50, 23rd November 2009 (telephone)

15. A professor in Hyup-sung University

1) Role: an expert member of the SSDC

2) Time & Place: 13:00-14:30, 14th April 2009, a room at Hyup-sung University

16:00-16:30, 23rd November 2009 (telephone)

16. A senior expert of the Research Centre for Environmental Education

1) Role: a former expert member of SSDC

2) Time & Place: 10:00-12:00, 17th April 2009, a room at the *Si-heung Journal* offices

15:30-16:00, 19th November 2009 (telephone)

17. A director of the Korea Water Resources Corporation (KWRC)

1) Role: a public corporation employee dealing with the Si-hwa development

2) Time & Place: 08:30-09:30, 13th April 2009, Gwa-cheon Government Complex

24th November 2009 (written reply)

18. A manager of the KWRC

1) Role: a public corporation member of the SSDC who deals with the Song-san Project

2) Time & Place: 15:00-16:00, 15th April 2009, a room in the Song-san office

14th November 2009 (written reply)

1-2. List of Other Sources related to the Si-hwa Case Study

1. Direct Observation of the SSDC

- 1) Type of Source: direct observation of the Urban Planning Subcommittee
- 2) Purpose: to observe stakeholders' behaviour and to experience the atmosphere of stakeholder discussions
- 3) Issues for Discussion: the residents' resettlement plan for the Song-san Green City project and the ecological cultural campaign for Si-hwa
- 4) Participants: 19 members of the Urban Planning Subcommittee and 12 observers
- 5) Time & Place: 10:00-13:00 15th April 2009, a room in the Song-san office

2. Site Visits

- 1) Type of Source: direct observation for the site
- 2) Purpose: to observe the Si-hwa area accurately and to get documents
- 3) Attendant: some staff of the KWRC responsible for the Si-hwa project
- 4) Time & Place: 16:30-18:00, 15th April 2009, in and around the Si-hwa area

3. Presentation

- 1) Type of Source: listening to the presentation of the outline and the land utilisation plan for the Si-hwa project
- 2) Purpose: to get information through a briefing from a public corporation staff
- 3) Attendant: some staff of the KWRC responsible for the Si-hwa project
- 4) Time & Place: 18:00-18:30, 15th April 2009, an observation tower

1-3. List of Interviewees in the Buk-Gu Case Study

1. A representative of the Urban Action Network (UAN)
 - 1) Role: an NGO member responsible for dealing with community-improvement projects in Seoul
 - 2) Time & Place: 15:30-17:00, 21st April 2009, a room in the UAN office
14:40-15:10, 23rd November 2009 (telephone)
2. A representative of the Gwang-ju YMCA
 - 1) Role: an NGO member responsible for dealing with community-improvement projects in Gwang-ju City
 - 2) Time & Place: 10:00-11:30, 20th April 2009, a room in the Gwang-ju YMCA office
14:00-14:30, 23rd November 2009 (telephone)
3. A representative of the Gwang-ju YMCA
 - 1) Role: an NGO member responsible for dealing with community-improvement projects in Gwang-ju City
 - 2) Time & Place: 11:30-12:00, 20th April 2009, a room in the Gwang-ju YMCA office
4. A member of the Local Agenda 21 for Hwa-seong City
 - 1) Role: an NGO member and a resident leader of Song-san Myeon
 - 2) Time & Place: 18:30-19:30, 17th April 2009, a Café near An-san City Hall
5. A member of the Residents' Autonomy Committee in Mun-hwa Dong
 - 1) Role: a resident leader in Mun-hwa Dong
 - 2) Time & Place: 14:00-14:30, 15:00-15:30, 24th April 2009, a room in the Sculpture Studio with Poems and Pictures in Mun-hwa Dong
15:00-15:35, 16th November 2009 (telephone)
6. A member of the Residents' Autonomy Committee in Mun-hwa Dong
 - 1) Role: a representative of residents responsible for dealing with the community-improvement project

2) Time & Place: 14:00-15:30, 23rd April 2009, a room in the Mun-hwa Dong office
(interviewed with the three representatives of residents below at their request)

15:30-15:50, 18th November 2009 (telephone)

7. A member of the Residents' Autonomy Committee in Mun-hwa Dong

1) Role: a representative of residents responsible for dealing with the community-improvement project

2) Time & Place: 14:00-15:30, 23rd April 2009, a room in the Mun-hwa Dong office

8. A head of one of the *tongs* in Mun-hwa Dong (Mun-hwa Dong consists of 22 *tongs*)

1) Role: a representative of residents responsible for dealing with the community-improvement project

2) Time & Place: 14:00-15:30, 23rd April 2009, a room in the Mun-hwa Dong office

18:00-18:30, 18th November 2009 (telephone)

9. A resident who was a former head of one of the *tongs* in Mun-hwa Dong

1) Role: a representative of residents responsible for dealing with the community-improvement project

2) Time & Place: 14:00-15:30, 23rd April 2009, a room in the Mun-hwa Dong office

09:00-09:30, 19th November 2009 (telephone)

10. A senior officer of the MLTM

1) Role: a central government official who is in charge of pilot projects

2) Time & Place: 15:30-17:00, 13th April 2009, Gwa-cheon Government Complex

25th November 2009 (written reply)

11. A senior officer of the MLTM

1) Role: a central government official who was in charge of pilot projects

2) Time & Place: 20:30-21:30, 21st April 2009, a Café in Seoul

24th November 2009 (written reply)

12. A senior officer of Gwang-ju City

1) Role: a regional government official responsible for the projects in Gwang-ju City

2) Time & Place: 15:30-16:00, 9th December 2009 (telephone)

13. A senior officer in the BDO

1) Role: a local government official who is in charge of the projects in Buk-Gu

2) Time & Place: 09:30-11:00, 24th April 2009, the Residents' Autonomy Division

14:00-14:20, 20th November 2009 (telephone)

14. A senior officer in the BDO

1) Role: a local government official who is in charge of the projects in Buk-Gu

2) Time & Place: 13:00-13:30, 24th April 2009, a room in the BDO

14:30-14:50, 20th November 2009 (telephone)

15. A local government official of Mun-hwa Dong

1) Role: a local government official who is in charge of the projects in Mun-hwa Dong

2) Time & Place: 09:30-11:30, 23rd April 2009, a room in the Mun-hwa Dong office

14:00-14:40, 18th November 2009 (telephone)

16. A local councillor in the Buk-Gu District Council

1) Role: a local councillor responsible for dealing with the projects

2) Time & Place: 11:00-12:00, 24th April 2009, a room of the Buk-Gu District Council,

09:50-10:20, 19th November 2009 (telephone)

17. An expert from the Sculpture Studio with Poems and Pictures

1) Role: an expert in the Committee for Making a Cultural Community with Poems and Pictures (CCCPP)

2) Time & Place: 16:00-17:30, 24th April 2009, a room in the Sculpture

Studio with Poems and Pictures in Mun-hwa Dong

17:00-17:30, 20th November 2009 (telephone)

18. A professor of Gwang-ju University

1) Role: a leading expert on the community-improvement projects in Gwang-ju City

2) Time & Place: 13:30-15:30, 20th April 2009, a room at Gwang-ju University
16th November 2009 (written reply)

19. A professor of Mock-won University

1) Role: a leading expert on the community-improvement projects in Dae-jeon City

2) Time & Place: 20th November 2009 (written reply)

20. A professor of Gwang-ju University

1) Role: an expert on the community-improvement projects in Gwang-ju City

2) Time & Place: 20th November 2009 (written reply)

21. A manager in the Korea National Housing Corporation (KNHC)

(now, the Korea Land and Housing Corporation)

1) Role: a leading public corporation employee responsible for dealing with the Buk-Gu projects

2) Time & Place: 10:30-12:30, 13:30-15:00, 21st April 2009, Cafés in Seoul
8th December 2009 (written reply)

22. A senior officer in the KNHC

1) Role: a public corporation employee responsible for dealing with the Buk-Gu projects

2) Time & Place: 14:30-15:30, 21st May 2009, a room in the Centre for Urban and Regional Studies in the University of Birmingham
10:30-11:10, 23rd November 2009 (telephone)

1-4. List of Other Sources related to the Buk-Gu Case Study

1. Listening to a Presentation in Mun-hwa Dong

- 1) Type of Source: direct observation of a presentation
- 2) Purpose: to become acquainted with the history, atmosphere and outcomes of the Mun-hwa Dong projects
- 3) Presenter: an expert from Mun-hwa Dong
- 4) Attendants: an honorary professor of Chun-nam University, an advisor from the Korean Modern Poets Association, and four persons
- 5) Time & Place: 14:30-15:00, 23rd April 2009, a room at the Sculpture Studio with Poems and Pictures in Mun-hwa Dong

2. Participant-Observation at the Community-Improvement Forum

- 1) Type of Source: participant observation
- 2) Purpose: to observe the Community-Improvement Forum and to discuss some issues with other members of the Forum
- 3) Issues for Discussion: revision of managerial regulation for the Forum and publication of the community-improvement manual and topics for 2009
- 4) Attendant: eight persons including some experts, NGO members, staffs of the public corporation and government officials
- 5) Time & Place: 17:00-20:00, 21st April 2009, a restaurant in Seoul

3. Site Visits in Mun-hwa Dong

- 1) Type of Source: direct observation in Mun-hwa Dong
- 2) Purpose: to observe the outcomes of community-improvement projects in Mun-hwa Dong and to get a briefing from the head of the Mun-hwa Dong office
- 3) Attendants: a head of the Mun-hwa Dong office and three members of staff
- 4) Time & Place: 11:30-12:30, 23rd April 2009, several sites in Mun-hwa Dong

Appendix 2: Topic Guide for the Si-hwa Case Study to be Used in Interviews with Government Officials⁷⁹

[First Interview Topic Guide for Government Officials used in April 2009]

1. Recognising and understanding the concept of sustainable development

These questions aim to ascertain how an interviewee understands the concept of sustainable development.

1.1 Have you heard about the concept of sustainable development? What do you feel about the concept of sustainable development?

1.2 Some people regard sustainable development as eco-friendly, but others consider the pursuit of sustainable development by developers to be a form of propaganda. What is your opinion of this?

2. Recognising the importance of collaborative governance

These questions aim to ascertain whether an interviewee recognises the importance of collaborative governance.

2.1 Is a consensus-building process appropriate in tackling complicated issues?

2.2 Some people state that various stakeholders such as NGOs take the initiative in dealing with a conflict mediation process related to social issues through a bottom-up approach. However, others say that it is difficult to share equal empowerment in a conflict mediation process. What is your opinion of this?

3. Governance features of the Si-hwa Sustainable Development Council (SSDC)

These questions aim to check the extent of participation in the SSDC and then, to examine governance features in the constitution and operation of the SSDC.

⁷⁹ Interviewees were classified into the following categories: central, regional and local government officials, local councillors, residents, representatives of environmental and social NGOs, academic and professional experts, and staff of the public corporation. Different topic guides were prepared for different kinds of interviewees. This is an example of topic guides with the interviewees of governments.

3.1 How much have you been involved in the SSDC? If you have had a great deal of involvement, what has made you participate to this extent? And have you been satisfied with the activities of the SSDC to date? If you have been little involved, with the SSDC, why is this?

3.2 What do you think is the most important thing in moving the SSDC towards sustainable development? And what are the main obstacles?

3.3 Some people consider it debatable whether the SSDC consists of broad stakeholders who have equal empowerment. What is your opinion of this? Which organisation do you think is the most influential in the SSDC? Some people would say that it is reasonable to involve residents in the SSDC. What do you think about this? In addition, what do you think about the joint public-private chairperson system that operates in the SSDC?

3.4 What is your opinion of the detailed managerial rules of the SSDC established in 2004? What do you think about the effect of Presidential Decree No. 19886, the Conflict Prevention and Resolution Regulation for Public Institutions, established in February 2008 and MLTM Directive No. 2008-43, the Management Regulation for the SSDC in the Si-hwa Area, in April 2008? In particular, what do you think about the role of the Mediation Committee and the Special Committee in dealing with conflicts and special issues in the SSDC since 2008?

3.5 Some people state that the role of central, regional and local governments is still dominant in the SSDC. What do you think about this?

3.6 What is your opinion on the statement that training and education for government officials and other stakeholders may be important in the promotion of the SSDC? If training and education is important, can you recommend any effective training and education for this? If not, why do you think not?

3.7 Do you agree with the statement that the heads of organisations which have participated in the SSDC have shown a willingness to reflect the collaborative efforts of the SSDC in their policy-making processes? If so, why? If not, why not?

3.8 It is considered by some people that the SSDC has built up trust through dialogue and interaction between various stakeholders over four years. However, a few people say that the SSDC lacks trust and communication. What is your opinion of this?

3.9 What do you think about the potential conflicts with some stakeholders who do not belong to the SSDC?

4. Consequences of collaborative governance for sustainable development in the activities of the SSDC

These questions aim to check what consequences the activities of the SSDC have had for the six elements of sustainable development.

4.1 To what extent do you think that the SSDC has been successful in contributing to sustainable development? In what ways has SSDC been unsuccessful in contributing to sustainable development?

4.2 With regard to conservation of the environment, what effect do you think the SSDC has had on this? How do you feel about the influence of collaborative features such as the role of government as a facilitator, inclusive stakeholder involvement, institutional capacity, collaborative leadership of all stakeholders, education and training and institutional design such as detailed managerial rules for the conservation of the environment?

4.3. Do you agree with the statement that the collaborative features of the SSDC have helped members pursue sustainable economic growth?

4.4 Some people state that the collaborative features of the SSDC have satisfied the demand for social equity. What do you think about this? Other people say that it is important to involve more people such as 'hard-to-reach' groups in the decision-making process. What do you think about this?

4.5 Do you believe that the collaborative features of the SSDC have improved the quality of residents' lives? If so, why? If not, why not? Furthermore, if some residents opposed the development of the Si-hwa area, what would you do?

4.6 It is believed by many people that the collaborative features of the SSDC have enhanced participatory democracy in South Korea. What do you think about this? If so, why? If not, why not? If you are a member of the SSDC, have you made any effort to collect the opinions of residents through various means such as a public hearing?

4.7 Some people say that the collaborative features of the SSDC have led to its long-term vision and holistic outlook in the pursuit of sustainable development. What do you think about this? If you agree with this, can you give some examples? In particular, do you think that it is necessary for the SSDC to deal with other fields, including transportation, culture, welfare, education and medical service, as well as with sustainable development in the Si-hwa area?

4.8 Some people would say that the collaborative processes of the SSDC over a long time have built up social trust, networks, and norms that facilitate coordination and cooperation for mutual benefit. They state that this collaborative procedure will be helpful for tackling diverse issues in other fields in our society. What do you think about this?

5. The roles of governments in the SSDC

These questions aim to examine the existing roles of governments and then to ascertain the future roles of governments in the quest for sustainable development.

5.1 What is your view of the statement that governments still play a dominant role as facilitators in the SSDC? If you agree with this, please say why. If you disagree with this, please say why?

5.2 Some people say that if collaborative processes suffer from a lack of voluntary participation and a lack of trust, governments and experts may take the initiative in decision-making processes as controllers. Do you agree that this is the case? If you do, and you think that this is not appropriate in collaborative processes, how would you change the situation?

6. The future of collaborative governance in the quest for sustainable development

These questions are looking for predictions about the form that collaborative governance will take in the future as people strive to achieve sustainable development.

6.1 What points are important for future collaborative governance? Can you give some examples?

6.2 It is considered by some people that working through collaborative governance to achieve sustainable development contributes to an enhancement of the quality of institutions. However, other people think that some institutions pretend to collaborate in order to achieve their own objectives. What is your opinion?

1. Recognising and understanding the concept of sustainable development

1.1 What do you think are the biggest challenges facing sustainable urban development over the next ten years?

1.2 The results of the first interviews suggested that sustainable development is based on collaborative consensus-building processes through which stakeholders reached agreement on a long-term vision of the region. What do you think about this?

2. Recognising the importance of collaborative governance

2.1 Many people are uncertain why governments select collaborative governance instead of being a single leader in devising public policies. What do you think about this?

2.2 Some people say that some stakeholders, despite appearing to support collaborative governance, still intend to pursue their own interests. The research suggested that interdependence among stakeholders and these people's attachment to the region were key to tackling this dilemma. What do you think about this?

3. The governance features of the SSDC

3.1. The research conducted for this case study suggested that the participation of representatives chosen by residents played an important role in obtaining legitimacy from residents. What do you think about this?

3.2 The research suggested that identifying, educating and involving new community leaders in the SSDC would be very important, because these leaders would help residents express their opinions through a governance system and establish a long-term regional vision. What do you think about this?

3.3 The case study indicated that both the participation of residents and the support of governments were fundamental dynamic forces in the collaborative governance system in South Korea. What do you think about this? With regard to this, the case studies suggested the importance of the institutional capacity of stakeholders, particularly that of residents and government. What do you think about this?

3.4 What do you think about the necessity of education and training programmes for potential future participants?

4. The consequences of collaborative governance for sustainable development in the activities of the SSDC

4.1 With regard to the contribution of collaborative governance to sustainable development, the research indicated that satisfaction with the outcomes of collaborative governance was attributed to the constitution of the governance system, the extent of trust, and the establishment of a long-term regional vision. What do you think about this?

4.2 What do you think about the argument that the sustainable development of urban areas needs to be pursued differently compared with that of rural areas?

4.3 In the Si-hwa case, there was low satisfaction with the treatment of social equity compared with other perspectives of sustainable development. What do you think about this result?

4.4 Do you think that there would be higher satisfaction with the treatment of social equity if the SSDC involved more residents, including the disadvantaged groups? If you agree with this, please say why. If you disagree with this, please say why?

4.5 The analysis of this case suggested that the stable and continuous execution of a long-term vision depended on institutional designs such as the urban planning system. Do you think it is necessary to harmonise a resident-driven long-term vision with a government-driven planning system?

5. The roles of governments in the SSDC

5.1 With regard to the Si-hwa case, the central government provided financial assistance as well as legal and administrative support through enacting laws, regulations and guidance. The regional and local governments took the initiative in establishing a long-term vision of the region through cooperation with other stakeholders, implementing the agreement and supporting local governance financially, legally and administratively. What do you think of this approach?

6. Future collaborative governance in the quest for sustainable development

6.1 The analysis of this case study suggested the importance of the following factors: interdependence, communication with residents, inclusive stakeholder involvement, the role of government as a facilitator and a long-term regional strategy. What is your view?

Appendix 3: Topic Guide for the Buk-Gu Case Study to be used in Interviews with Government Officials

[First Interview Topic Guide for Government Officials used in April 2009]

1. Recognising and understanding the concept of sustainable development

These questions aim to ascertain how an interviewee understands the concept of sustainable development.

1.1 Have you heard about the concept of sustainable development? What do you feel about the concept of sustainable development?

1.2 Some people regard sustainable development as eco-friendly, but others consider the pursuit of sustainable development by developers to be a form of propaganda. What is your opinion of this?

2. Recognising the importance of collaborative governance

These questions aim to ascertain whether an interviewee recognises the importance of collaborative governance.

2.1 Is a collaborative policy-making process appropriate in dealing with the community-improvement project and the liveable city project?

2.2 Some people say that there has been a shift in the policy-making process from a top-down approach by a government to a bottom-up one by various stakeholders. However, others say that the roles of governments are still dominant in a policy-making process. What is your opinion of this?

3. Governance features in the Community-Improvement Project and the Liveable City Project of Buk-Gu in Gwang-ju Metropolitan City

These questions aim to check the extent of participation in the Community-Improvement Project (CIP) and the Liveable City Project (LCP) and then, to examine governance features in the decision-making and implementation of the CIP and LCP.

3.1 How much have you been involved in collaborative decision-making and implementation of the CIP and LCP? If you have had a great deal of involvement, have you been satisfied with the results of collaboration to date? If you have been little involved, why is that?

3.2 What do you think is the most important thing about promoting collaboration in the decision-making and implementation of the CIP and LCP in the quest for sustainable development? And what are the main obstacles in the decision-making and implementation of the CIP and LCP?

3.3 Some people say that the collaboration experienced in the CIP and LCP is based on inclusive stakeholder involvement with equal empowerment for all. What is your opinion of this? Which organisations do you think are more influential in this collaboration? Do you believe that residents can be satisfied with the results of the CIP and LCP? Some people would say that it is reasonable to involve residents in the policy-making process. What do you think about this? How do you feel about the role of a Residents' Autonomy Committee? As the scale and budget of the CIP and LCP grow bigger and bigger, what is your opinion of the extent of residents' participation? What do you think of the role of the NGOs in collaboration related to the CIP and LCP?

3.4 What do you feel about the ordinance the Buk-Gu District Office enacted in March 2004 in relation to the CIP? Do you agree with the statement that this ordinance contributes to the collaborative process in the CIP? Some people would say that the CIP do not have enough legal foundation. What is your view of the adequacy of this legal foundation? How do you feel about the role of the Support Centre for the Community-Improvement Project? Have you heard of the evaluation system for these projects?

3.5 Some people state that central, regional and local governments are still important as facilitators in decision-making and implementation of the CIP and LCP. What do you think about this? Have you heard of the Community-Improvement Team in the Buk-Gu District Office? How do you feel about its role? Some say that the financial, administrative and legal assistance of governments is related to the extent of public involvement. How do you feel about this?

3.6 What is your opinion on the statement that training and education for government officials and other stakeholders may be important in the collaborative process of the CIP and LCP? If training and education are important, can you recommend any effective training and education for this? Have you heard of the Society for Research into Community-Improvement? What is your opinion of this?

3.7 Do you agree with the statement that the heads of organisations related to the CIP and LCP have shown a willingness to reflect collaborative efforts in their practices? If so, why? If not, why?

3.8 It is considered by some people that some participants in the CIP and LCP have built up trust through dialogue and interaction between various stakeholders over a long time. However, other people say that the CIP and LCP need more participation and

interaction in order to build up trust through communication. What is your opinion about this?

3.9 What do you think about the potential for conflict with some residents who have not participated in the collaborative policy-making process?

4. The consequences of collaborative governance for sustainable development in the decision-making and implementation processes of the CIP and LCP

These questions aim to check what consequences collaboration in the CIP and LCP has had for the six elements of sustainable development.

4.1 To what extent do you think that collaboration in the CIP and LCP has been successful in contributing to sustainable development? In what ways, has collaboration in the CIP and LCP been unsuccessful in contributing to sustainable development?

4.2 With regard to conservation of the environment, what consequences do you think collaboration in the CIP and LCP has had? How do you feel about the influence of collaborative features such as the role of government as a facilitator, inclusive stakeholder involvement, institutional capacity, collaborative leadership of all stakeholders, education and training, and institutional designs in the conservation of the environment?

4.3. Do you agree with the statement the collaboration in the CIP and LCP has promoted the pursuit of sustainable economic growth? What do you think about this?

4.4 Some people state that collaboration in the CIP and LCP has satisfied the demand for social equity. What is your opinion of this? Some authors say that it is important to involve more people such as 'hard-to-reach' groups in the decision-making process. What do you think about this?

4.5 Do you believe that collaboration in the CIP and LCP has improved the quality of residents' lives? If so, why? If not, why? Furthermore, if some residents oppose the results of the CIP and LCP, how would you cope with this situation?

4.6 It is believed by many people that collaboration in the CIP and LCP has enhanced participatory democracy in Buk-Gu. What do you think about this? If so, why? If not, why? If you participate in collaboration in the CIP and LCP, have you endeavoured to collect the opinions of residents by various means, such as a public hearing?

4.7 Some people say that collaboration in the CIP and LCP has established a long-term vision and a holistic outlook in the pursuit of sustainable development. If you agree with this, please say why. If you disagree with this, please say why? In particular, do you think that a CIP and LCP are needed to deal with other areas, including transportation,

culture, welfare, education and medical services as well as sustainable development in Buk-Gu?

4.8 Some people would say that collaboration in the CIP and LCP over a long time have built up social trust, networks, and norms that facilitate coordination and cooperation for mutual benefit. What do you think about this?

5. The Roles of governments in the CIP and LCP

These questions aim to examine the existing roles of governments and then to ascertain the future roles of governments in the quest for sustainable development.

5.1 What is your view of the statement that governments still play a dominant role as facilitators in collaboration in the CIP and LCP? If you agree with this, why do you think so? If you disagree with this, why?

5.2 Do you think that central and local governments have reinforced the strength of collaboration in the CIP and LCP? If so, can you give an example of this? If not, why not?

5.3 Some people say that if collaborative processes in the CIP and LCP suffer from a lack of voluntary participation and a lack of trust, governments and experts may take the initiative in decision-making processes as controllers. What do you think about this? If you think that this is not appropriate in collaborative processes, how would you change this situation?

6. Future collaborative governance in the effort to achieve sustainable development

These questions aim to confirm the form of future collaborative governance in the effort to achieve sustainable development.

6.1 What points are important for future collaborative governance? Can you give some examples?

6.2 It is considered by some people that collaborative governance in the quest for sustainable development contributes to the enhancement of the quality of institutions. However, other people think that some institutions pretend to collaborate in order to achieve their own objectives. What is your opinion of this?

1. Recognising and understanding the concept of sustainable development

1.1 What do you think are the biggest challenges facing sustainable urban development over the next ten years?

1.2 The results of the first interviews suggest that sustainable development was based on collaborative consensus-building processes through which stakeholders reached agreement on a long-term vision of the region. What is your view on this?

2. Recognising the importance of collaborative governance

2.1 Many people are uncertain why governments select collaborative governance instead of being a single leader when devising public policies. What is your view?

2.2 Interviewees still had some concerns about problems related to the pursuit of self-interest and the false decisions this led to. The research suggested that interdependence among stakeholders and their attachment to their region were keys to tackling these dilemmas. What do you think about this? Is interdependence based on mutual trust and interaction among various stakeholders?

3. Governance features in the Community-Improvement Projects in Buk-Gu

3.1. The research conducted for this case study suggested that the participation of residents was very important in obtaining legitimacy from residents. What do you think about this? In addition, do you think that participatory democracy needs to be harmonised with representative democracy?

3.2 The research suggested that identifying, educating and involving new community leaders would be very important, because these leaders would help residents express their opinions through a governance system and to establish a long-term regional vision. What is your view?

3.3 The case study indicated that both the participation of residents and the support of governments were fundamental dynamic forces in collaborative governance in South Korea. What do you think about this? With regard to this, the case studies suggested the importance of the institutional capacity of stakeholders, particularly that of residents and government. What is your view?

4. Consequences of collaborative governance for sustainable development

4.1 With regard to the contribution of collaborative governance to sustainable development, the research indicated that satisfaction with the outcomes of collaborative governance was attributed to the constitution of the governance system, the extent of trust, and the establishment of a long-term regional vision. What is your view?

4.2 What do you think about the argument that the sustainable development of urban areas needs to be pursued differently compared with that of rural areas?

4.3 In the Buk-Gu case, there was low satisfaction with the treatment of conservation of the environment and social equity compared with other perspectives of sustainable development. What do you think about this result?

4.4 Do you think that there would be higher satisfaction with the treatment of social equity, if the stakeholders in the Buk-Gu case involved more other stakeholders, such as the disadvantaged? If you agree with this, please say why. If you disagree with this, please say why?

4.5 The analysis of this case suggested that the stable and continuous execution of a long-term vision depended on institutional designs such as the urban planning system. Do you think that it is necessary to harmonise a resident-driven long-term vision with a government-driven planning system? If you agree with this, please say why. If you disagree with this, please say why?

5. The roles of governments in the SSDC

5.1 With regard to the Buk-Gu case, the central government provided financial assistance as well as legal and administrative support by enacting laws, regulations and guidance. The regional and local governments took the initiative in establishing a long-term vision for the region through cooperation with other stakeholders and supporting local governance. What do you think of this approach?

5.2 Can you explain how to incorporate the resident-driven community-improvement projects of Mun-hwa Dong into the Basic Urban Plan?

6. Future collaborative governance in the effort to achieve sustainable development

6.1 The analysis of this case study suggested the importance of the following factors: interdependence, communication with residents, inclusive stakeholder involvement, the role of government as a facilitator and a long-term strategy. What do you think of this?

Appendix 4: The Chronology of the Two Case Studies

4-1. The Chronology of the Si-hwa Project from 1975 to 2009

Period	Year	Events
Government-driven	1975	The Korea Rural Development Corporation established the Land Reclamation Plan of the Southwest Coast.
	1982-1984	The Ministry of Agriculture (MOA) completed the basic survey of the Si-hwa area between 1982 and 1984.
	1986	In September, the Ministry of Construction (MOC) announced the basic plan and the changed development area of the Ban-wall specific area for the Si-hwa development by announcements Nos 424 and 425 of the MOC.
	1987	In June, the Industrial Base Development Corporation commenced the work of a tide embankment in the Si-hwa area.
	1994	In January, the Korea Water Resources Corporation (KWRC) completed the construction of a tide embankment.
Conflict-driven	1996	In April, the SBS News reported the water pollution of Lake Si-hwa. In July, the Ministry of Environment (MOE) announced the water quality improvement measures of Lake Si-hwa. In August, several hundred thousand fish died in Lake Si-hwa. In November, the Board of Audit and Inspection announced the results of an assessment of water quality improvement measures in Lake Si-hwa.
	1996-1998	There were several civil appeals and legal cases by NGOs and residents between 1996 and 1998.
	1998	In November, the Ministry of Construction and Transportation (MOCT) extended the 116.3 sq km of the Si-hwa development area to 231.5 sq km, including the southern tideland.
	1999	In March, several NGOs formed themselves into the Citizens' Solidarity for the Desired Lake Si-hwa.
		Starting in September, the Board of Audit and Inspection inspected the Si-hwa development plan.
		In October, the Citizens' Solidarity organisation suggested the Citizens' Draft for Creating the Si-hwa Ecological Park.
	2000	In September, governments and several corporations constituted the Si-hwa Area Policy Conference.
	2001	In February, the MOE announced that Lake Si-hwa was finally changed from a freshwater lake to a seawater one.
		In March, the Symposium for Establishing Environmental Conservation Measures for Lake Si-hwa was held by the Citizens' Solidarity organisation of the Si-hwa area.
		In June, the six public research institutes, including the Korea Research Institute for Human Settlements, commenced research to establish a Long-term Comprehensive Plan.
		In August, the MOCT announced the Development Plan for the Si-hwa Expansion Area.

	2002	In September, the KWRC and NGOs established a joint conference for Establishing the Northern Tideland Plan.
		In November, the joint working conference was dissolved due to a lack of prior mutual consultation about the submission of the documents for an environmental assessment.
	2003	Between January and May, 22 rounds of meetings were held by the KWRC to discuss the Si-hwa project with residents.
		On 12 th December, the MOCT held a public hearing about the Si-hwa area Long-term Comprehensive Plan.
		On 15 th December, the Citizens' Solidarity organisation rejected the government's draft and strongly demanded that the government's draft on the Si-hwa project should be reconsidered in a totally sustainable way.
Governance-driven	2004	In January, various stakeholders, such as central, regional and local governments, local councillors, NGOs and experts, constituted the SSDC and established the detailed managerial rules of the SSDC. In particular, this joint council held 159 meeting rounds between January 2004 and February 2008.
		On 23 rd and 24 th April, the SSDC discussed the necessity of the Si-hwa development and the air and water quality improvement measures.
		In October, the SSDC completed the special vision of water quality and air improvement, following several rounds of meetings and seminars.
		In December, the SSDC reached an agreement about the development plan for the southern tideland on the understanding that there would be a thorough eco-friendly development and the monitoring of NGOs.
	2005	In March, the SSDC revised its detailed managerial rules in order to reflect a public-private joint chairperson system.
		In June, the SSDC discussed the necessity of a research to examine what would be a proper size for the Si-hwa project.
		The MoE endorsed the environmental assessment of the Si-hwa MTV project on the understanding that the SSDC would reach an agreement about the MTV development area.
		In September, the Korea Planners Association commenced research to examine what would be a proper size for the Si-hwa MTV sustainable development area.
	2006	In January, the SSDC completed its guidance for preparing eco-friendly golf courses.
		In February, the research results of the Si-hwa MTV development area were officially announced.
		On 19 th June, the SSDC reached a provisional agreement about the size of the Si-hwa MTV development area and the implementation of environmental improvement measures.
		In July, some local government officials, local councillors and NGO members from the An-san area left the SSDC, denying the research results as to what would be an adequate development area for the Si-hwa MTV project.
		An-san Citizens' Committee against the Si-hwa MTV development was constituted by 13 NGOs, and in June another

		three NGOs, including the An-san YMCA, left the SSDC in protest at the agreement about the Si-hwa development area.
		On 20 th July, the SSDC confirmed the agreement of June and discussed publicity.
		In September, the SSDC discussed how to make the SSDC a legal organisation.
		In October, local government officials in An-san city rejoined the SSDC.
		In November, the SSDC reached an agreement about the land utilisation plan for the Si-hwa MTV development.
	2007	In January, the SSDC announced the written agreement about the land utilisation plan for the Si-hwa MTV development.
		In February, local councillors in An-san city rejoined the SSDC.
		In March, the MOCT announced a change to the Si-hwa MTV development plan through announcement No. 2007-90.
		In July, the SSDC took a public-opinion poll on the Si-hwa development plan.
		On 16 th August, the MOCT endorsed the enforcement plan for the Si-hwa MTV development.
		On 24 th August, the KWRC began to develop the Si-hwa MTV project.
		In November, the SSDC reached an agreement on the institutionalisation of the SSDC.
	2008	On 12 th February, Presidential Decree No. 19886, the Conflict Prevention and Resolution Regulation of Public Institution, was promulgated.
		In March, the Ministry of Land, Transport and Maritime Affairs (MLTM) announced the development plan for the Song-san Green City.
		Between March 2008 and October 2009, the second stage of the SSDC had held 27 rounds of meetings. This will be continued until the completion of the Si-hwa project.
		On 8 th of April, MLTM Directive No. 2008-43, the Management Regulation of the SSDC in the Si-hwa Area, was established.
		On 30 th April, the second stage of the SSDC was constituted.
		On 4 th June, the detailed managerial rules of the second stage of the SSDC were revised.
	2009	In March, the MLTM announced a change in the development plan for the Song-san Green City.
		Between December 2008 and May 2009, the Song-san Subcommittee resolved a specific issue concerning the volume of soil needed for the land reclamation plan through several meetings based on social learning processes.

4-2. The Chronology of the Buk-Gu Case from 1970 to 2009

Period	Year	Events
Government-driven	The 1970s	Central governments carried out the ‘new community movement’ for the regional development.
	The 1980s	Central governments led the redevelopment of the slums, which ran into resistance from NGOs and some residents.
	1990	NGOs started a citizens’ campaign for the enhancement of the quality of life and the improvement of public involvement.
	1991	A local autonomy system for selecting local councillors was re-established after a lapse of 30 years.
	1995	Chief executives of local governments were elected for the first time by the direct vote of residents, which has accelerated decentralisation in Korea,
	1995-1998	The Buk-Gu District Office (BDO) pushed ahead with the consumers’ cooperative federation movement for developing the local economy and settling local identity.
	1997-1999	The Asian financial crisis influenced the structural reform of government.
Resident-driven	1999	The BDO organised a ‘citizen autonomy team’ for supporting local autonomy system in July.
	2000	In February, the BDO established the Beautiful Community-improvement Plan.
		The office of a <i>dong</i> was changed into a resident autonomy centre as one of the structural reforms of local government and a residents’ autonomy committee was also established in every <i>dong</i> for the promotion of public involvement.
		In October, a Residents’ Autonomy School began to be held, and has continued until the present day.
		The 26 <i>dongs</i> of Buk-Gu have pushed ahead with creating a liveable community since 2000 until the present day.
	2001	In June, the Society for Research into Community-Improvement was established, and this aimed to interact with all stakeholders through social learning processes.
	2003	In November, the Ordinance Enactment Committee in Buk-Gu was constituted.
		Course of Lectures on autonomy began and has continued until the present day.
		In December, the BDO organised a Community-Improvement Team to support the Community-Improvement processes of every <i>dong</i> .
Governance-driven	2004	In March, the BDO enacted the Ordinance for Creating a Liveable Community.
		In July, the Committee for Making a Community with Poems and Pictures was established.
	2005	In February, the BDO organised the Committee for making a Beautiful Community.
		In June, the Community-Improvement Support Centre was established for developing programmes, providing information and training leaders for the community-improvement projects.

	2006	In May, the Committee for Making a Cultural Community with Poems and Pictures (CCMPP) was constituted.
		In November, the MOCT drew up the pilot project for making a liveable city.
	2007	A pilot project for making a liveable community and a liveable city began and has continued up until the present day.
		In May, the Buk-Gu Committee for making a Liveable City was constituted.
		Mun-hwa Dong won the first prize in the National Liveable City Competition by pushing ahead with the community-improvement projects with its long-term vision.
	2008	Buk-Gu was selected as a pilot project for making a liveable city after suggesting a project for the Creation of Roads for the Cultural Communication.
		On grounds of 'effectiveness', the MLTM changed the applicant for a pilot liveable community project from the residents to the head of the local government. This change was applied to the pilot projects of the MLTM since 2009.
	2009	Dong-lim Dong was selected as a pilot project for making a liveable community.
		Help desk has been run by the MLTM and the Korea Land and Housing Corporation (LH) since 2009 in order to support the community-improvement projects and liveable city projects through various expert consultation systems such as 'Urban Doctor' and 'Community Doctor'.
		Operating the support centre becomes compulsory for local government by the MLTM in order to enhance the quality of public involvement from 2009 on.

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